

3 SERVICES REQUIREMENTS

The Optum Arkansas Medicaid Enterprise (AME) Decision Support System (DSS) consists of a powerful and flexible data warehouse platform that supports industry-leading Commercial off the Shelf (COTS) business intelligence software that meet Medicaid analysis and reporting requirements for DSS, extensive ad hoc capability, Management and Administrative Reporting (MAR) reporting, Fraud Detection, and Surveillance and Utilization Review Subsystems (SURS).

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3.1 Program Integrity and Decision Support Services

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3.1.1 Decision Support Services (DSS)

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3.1.1.1 DSS Responsibilities - State

Table 11 DSS Responsibilities – State

DSS Responsibilities - State	
Identifier	Description
T11DSSR.1	Identify the data that must be maintained on the DSS and the frequency of updates.

Optum acknowledges the State of Arkansas’ role and responsibility for this requirement. The Optum AME DSS solution is a very powerful and flexible in data exchange and maintenance. We have worked with many states on the data types and frequency and can meet Arkansas requirements. One of the strengths of our solution is the ability to quickly incorporate new data elements and the ability to stagger various load updates based on our customer’s requirements.

DSS Responsibilities - State	
Identifier	Description
T11DSSR.2	Review reports and notify the Contractor of any problems

Optum acknowledges the State of Arkansas’ role and responsibility for this requirement. We are committed to working in collaboration with our clients to make sure information delivered through reports and other mechanisms is accurate. Our design and project management processes are designed to be highly responsive to State identified problems.

3.1.1.2 DSS Responsibilities - Contractor

Table 12 DSS Responsibilities - Contractor

DSS Responsibilities - Contractor	
Id/Code	Description
DSSSS2.13	Provide a monthly drug claim report on claims that exceed \$500 per claim. Identify them via workflow to highlight as they happen.

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Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

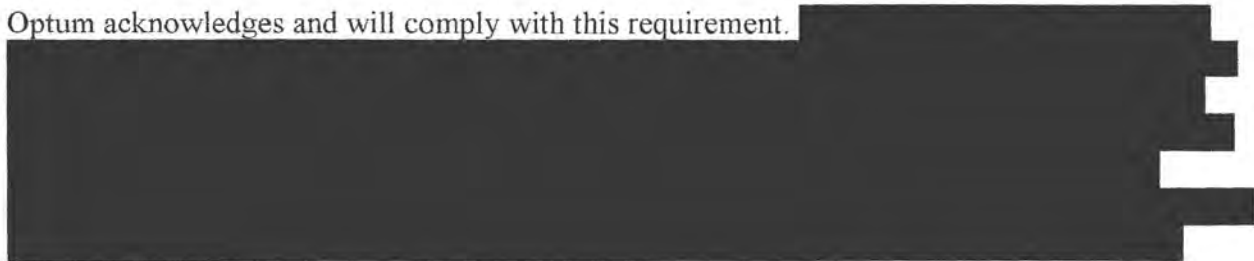
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DSS Responsibilities - Contractor	
Identifier	Description
DSSSS3.8.2	Provide queries that track financial transactions impacting funding down to the category-of-service level. Provide standard reports that combine data from the current Core System' 244 and 210 reports in a format to be defined by the State.

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Optum acknowledges and will comply with this requirement.



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DSS Responsibilities - Contractor	
Identifier	Description
DSSSS3.13	Maintain a privacy and security program in compliance with HIPAA rules and the State policies.

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Optum acknowledges and will comply with this requirement. [Redacted]

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DSS Responsibilities - Contractor	
Identifier	Description
DSSSS3.17	Develop standard Medicaid management information queries that retrieve data without relying on programmers or predetermined reports.

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Optum acknowledges and will comply with this requirement. [REDACTED]

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DSS Responsibilities - Contractor	
Identifier	Description
DSSSS3.22	Provide technical and end-to-end user training on a schedule to be determined by State.

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Optum acknowledges and will comply with this requirement. [REDACTED]

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DSS Responsibilities - Contractor	
Identifier	Description
DSSSS3.23	Propose enhancements to the DSS.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

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DSS Responsibilities - Contractor	
Identifier	Description
DSSSS3.27	Submit balancing and validation reports to the State.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

DSS Responsibilities - Contractor	
Identifier	Description
DSSSS3.33	Ensure DSS standard reports are available as scheduled by State.

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Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

DSS Responsibilities - Contractor	
Identifier	Description
DSSSS3.34	Provide a process to allow ad-hoc reports to become standard as requested by State.

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Optum acknowledges and will comply with this requirement. [REDACTED]

DSS Responsibilities - Contractor	
Identifier	Description
DSSSS3.35	Provide a usage report for management with number of reports, name, subject matter, type, and reports with similar outcomes.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

[REDACTED]

DSS Responsibilities – Contractor

Identifier	Description
DSSSS3.44	Perform trend analysis reports for federal agencies or the State.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

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DSS Responsibilities - Contractor	
Identifier	Description
DSSSS3.45	Provide monthly summary management reports by month, including but not limited to reporting on the number of premium checks processed per day and monthly totals collected.

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Optum acknowledges and will comply with this requirement. [REDACTED]

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DSS Responsibilities - Contractor	
Identifier	Description
DSSSS3.47	Assist the State in creating the capability to alert end-users when there is an ad hoc report with the same or similar data fields in the central repository to prevent duplication of reports.

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Optum acknowledges and will comply with this requirement. [REDACTED]

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DSS Responsibilities - Contractor	
Identifier	Description
OFAO1.7	Provide staff with DSS expertise and analytical abilities to train State end-users in data analysis, query design, and execution.

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Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

DSS Responsibilities - Contractor	
Identifier	Description
OFAO1.9	Provide staff with DSS expertise and analytical abilities to provide business intelligence reporting training to State business intelligence "super end-users."

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Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

DSS Responsibilities - Contractor	
Identifier	Description
OFAO1.12	Provide staff with DSS expertise and analytical abilities to train State end-users on fraud and abuse detection using business intelligence reporting tools. Tools are to include: <ul style="list-style-type: none">1. Researching data sources2. Reviewing reports and establishing report parameters3. Analyzing fraud and abuse detection data4. Providing training to end end-users5. Helping to produce complex reports

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Optum acknowledges and will comply with this requirement. [REDACTED]

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DSS Responsibilities - Contractor	
Identifier	Description
OFAO1.13.1	Provide DSS expertise and analytical abilities to train State end-end-users on financial requirements using business intelligence reporting tools. Tools are to include: <ol style="list-style-type: none">1. Researching and analyzing data2. Reviewing reports and establishing report parameters3. Producing complex data queries4. Optimize Program Integrity: Management and Administration (MAR) and (SURS) queries5. Researching data sources

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Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

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DSS Responsibilities - Contractor	
Identifier	Description
OFAO1.15	Provide DSS expertise on establishing report parameters, and analyzing data; on query report design and execution to Pharmacy end-end-users.

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Optum acknowledges and will comply with this requirement. [REDACTED]

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DSS Responsibilities - Contractor	
Identifier	Description
PAY4.2	Provide all ad-hoc and system generated reports that currently support the financial reporting function. See Resource Library.

Optum acknowledges and will comply with this requirement. The IBM Cognos BI reporting and analysis tools component of the AME DSS solution are used to access and report on data from the data warehouse, extracted from the MMIS and possibly other systems. Data in the AME DSS data warehouse, including data for financial reporting, will be available for standard and ad hoc reporting, as well as for other included analytic processes.

The State’s response to a question regarding this requirement (question 121) directed vendors to the “DDS Recurring Reports” folder in the AME DSS bidder resource library. However, the information in the bidder’s library in this folder only provides the listing of reports without sample report details needed to determine the requirements or level of detail required. Optum will work with the State to determine the requirements for these reports during requirements validation and determine with the State the reports to replicate in the AME DSS.

DSS Responsibilities – Contractor	
Identifier	Description
PISS3.21	Develop queries to identify and report on new Providers and capture billing practices based on criteria defined by State.

Optum acknowledges and will comply with this requirement. We will meet this requirement with the ad hoc capability within the AME DSS solution or the FADS components of the AME DSS. Optum FADS is described in more detail in Sections 3.1.4 through 3.1.7.

3.1.1.3 Key Performance Indicators - DSS

Table 13 Key Performance Indicators – DSS

Key Performance Indicators - DSS	
Identifier	Description
DSP1.3	Resolve DSS functionality errors within five State work days of identification of the error.

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Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

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[REDACTED]

[REDACTED]

Key Performance Indicators - DSS

Identifier	Description
DSP1.5	Generate unique Program Integrity reports within two State work days. Unique Program Integrity reports are those that require technical input for design and execution and may require use of historical data or reconciliation of data sources.

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Optum acknowledges and will comply with this requirement.

[REDACTED]

[REDACTED]

[REDACTED]

Key Performance Indicators - DSS

Identifier	Description
DSP1.6	Respond to State requests to run unscheduled reports within one State work day of receipt of request from State and provide an estimated delivery date.

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Optum acknowledges and will comply with this requirement.

[REDACTED]

Key Performance Indicators - DSS

Identifier	Description
DSP1.7	Respond to State requests to design new reports within one State work day of receipt of request from State and provide an estimated delivery date.

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Optum acknowledges and will comply with this requirement.



Key Performance Indicators - DSS

Identifier	Description
DSP1.8	Execute basic and advanced online queries, within the following time constraints: <ol style="list-style-type: none">1. Basic queries (predefined) will be returned within five minutes of executing the query2. Advanced queries will be returned within 15 minutes of executing the query, or if not completed within 15 minutes the system must provide expected delivery time at query submission

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Optum acknowledges and will comply with this requirement.





In addition, Optum will work with the State to establish a number of mutually agreed upon benchmark queries to measure the performance of the system as defined in these requirements. Optum will define the queries and review the queries with the State on an annual basis, modify, and maintain the queries as required by the State, and as mutually agreed, over the term of the contract. We will execute the queries two times per day in the Production Reporting environment during business hours, once during peak usage hours and once during low usage hours and we will provide the results to the State for review and load the data to our Service Level Agreement (SLA) performance management dashboard.

Key Performance Indicators - DSS

Identifier	Description
PAY4.15	Access to archived history for query purposes must be available within two State work days.

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Optum acknowledges and will comply with this requirement.



3.1.2 Claims Analysis

Claims data is essential to many analytic activities in Medicaid. Valid claims data analysis supports policy development, evaluation, rate setting and budgeting, and finance. The Optum ETL process is proven in its ability to generate claims data that is clean and usable in tables that are transparent to users and that will be tied back one for one to operational systems such as the MMIS. Because the Optum DSS approach obtains then transforms the data and loads it into tables that preserve all the data, claims-based analysis can be audited to all submitted individual claims. This is an advantage of our approach. Other DSS systems that use highly normalized models, such as star schemas, lose one-to-one tracking in the creation of the data model.

Claims-based analysis across our customer base includes reports and a great deal of ad hoc analysis. Reports can be developed by Optum or by State users. Reports developed by Optum will come under formal development and project planning. Claims analysis, however, is often ad hoc and can be complicated. For this reason we have become experts at creating different implementation approaches at the logical and presentation layers while keeping consistency at the physical layer.

In keeping with HIPAA minimum necessary standards to support meta- analysis, we can provide samples, selects, or roll ups of claims by creating objects in the AME DSS software meta-layer that facilitate claims-based analysis and also discipline ad hoc analysis to create more consistency of approaches and results. For example, there can be an object created that selects all hospital claims for a year. Users do not have to decide what constitutes a hospital claim unless they have a special purpose definition. We can and have also provided de-identified views of the data to support minimum necessary standards.

The proposed Optum staff will provide years of experience from other state Medicaid programs in developing claims-based analytics to support policy development and evaluation. Our analytic staff understands State Medicaid policy issues and their experience in other states enables them to bring that knowledge and experience developing claims based queries for state Medicaid staff.

3.1.2.1 Claims Analysis Responsibilities - State

Table 14 Claims Analysis Responsibilities - State

Claims Analysis Responsibilities – State	
Identifier	Description
T14CAR.1	Establish sample criteria and provide required inputs

Optum acknowledges the State of Arkansas role and responsibility for this requirement.

Claims Analysis Responsibilities – State	
Identifier	Description
T14CAR.2	Request samples to be selected for reviews monthly or as needed

Optum acknowledges the State of Arkansas role and responsibility for this requirement.

Claims Analysis Responsibilities – State	
Identifier	Description
T14CAR.3	Identify the general types of claim documentation needed to complete claim reviews and request the documentation from the Contractor for sample claims

Optum acknowledges the State of Arkansas role and responsibility for this requirement.

Claims Analysis Responsibilities – State	
Identifier	Description
T14CAR.4	Review and approve Contractor policies for claims analysis process

Optum acknowledges the State of Arkansas role and responsibility for this requirement.

Claims Analysis Responsibilities – State	
Identifier	Description
T14CAR.5	Establish goals and objectives for the claims analysis process

Optum acknowledges the State of Arkansas role and responsibility for this requirement.

Claims Analysis Responsibilities – State	
Identifier	Description
T14CAR.6	Provide all system functionality to support business office operations

Optum acknowledges the State of Arkansas role and responsibility for this requirement.

3.1.2.2 Claims Analysis Responsibilities - Contractor

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Table 15 Claims Analysis Responsibilities – Contractor

Claims Analysis Responsibilities - Contractor	
Identifier	Description
T15CAR.1	Develop or input the report algorithms in the system that generate the reports using the sample criteria provided by the State.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

[REDACTED]

Claims Analysis Responsibilities – Contractor	
Identifier	Description
T15CAR.2	Produce reports relating to claims analysis as defined by the State.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

Claims Analysis Responsibilities - Contractor	
Identifier	Description
T15CAR.3	Provide expertise to define claims analysis processes and develop data search tools and capabilities to achieve State objectives.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]



3.1.3 Pharmacy Audits

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3.1.3.1 Pharmacy Audits Responsibilities - State

Table 16 Pharmacy Audits Responsibilities – State

Pharmacy Audits Responsibilities – State	
Identifier	Description
T17AU.1	Provide policy direction and make administrative decisions

Optum acknowledges the State’s role and responsibility for this requirement.

Pharmacy Audits Responsibilities – State	
Identifier	Description
T17AU.2	Determine the frequency, content, format, media, and number of copies and distribution of reports

Optum acknowledges the State’s role and responsibility for this requirement.

Pharmacy Audits Responsibilities – State	
Identifier	Description
T17AU.3	Review and approve the Contractor’s procedures for conducting reviews

Optum acknowledges the State’s role and responsibility for this requirement.

Pharmacy Audits Responsibilities – State	
Identifier	Description
T17AU.4	Determine corrective action processes for Contractor use

Optum acknowledges the State’s role and responsibility for this requirement.

Pharmacy Audits Responsibilities – State	
Identifier	Description
T17AU.5	Action taken on audit report

Optum acknowledges the State’s role and responsibility for this requirement.

3.1.3.2 Pharmacy Audits Responsibilities - Contractor

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Table 17 Pharmacy Audits Responsibilities – Contractor

Pharmacy Audits Responsibilities – Contractor	
Item	Description
AU1.1	Perform audits. Preliminary audit findings will be communicated to the State by the contractor. The State PI unit will communicate final audit findings to the provider.

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Pharmacy Audits Responsibilities – Contractor

Identifier	Description
AU1.2	Perform pharmacy audit functions to include, but not be limited to, policy issues as Usual and Customary and NDC miss-bill.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

[REDACTED]

Pharmacy Audits Responsibilities – Contractor

Identifier	Description
AU1.3	Perform audits on drugs that have fiscal integrity edits implemented.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

Pharmacy Audits Responsibilities – Contractor	
Identifier	Description
AU1.4	Audit all claims that have been selected for audit. Recoupment documentation and any other supporting documentation must have notation entered into system for recognition of audit recoupment (modify the claim dollar amount with a notation of the recoupment without actual reverse and rebill that would interfere with rebates).

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Optum acknowledges and will comply with this requirement.

3.1.3.3 Key Performance Indicators - Pharmacy Audits

Table 18 Key Performance Indicators - Pharmacy Audits

Key Performance Indicators - Pharmacy Audits	
Identifier	Description
AU2.1	Complete one quarter of the Pharmacy Provider audits each three month period of the year.

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Optum acknowledges and will comply with this requirement.

Key Performance Indicators - Pharmacy Audits	
Identifier	Description
AU2.2	Submit all audit recoupment reports and supporting documentation in accordance with Arkansas PIU department guidance.

Optum acknowledges and will comply with this requirement. The FADS Case Tracking System will be used to log and track all documentation as required.

Key Performance Indicators - Pharmacy Audits	
Identifier	Description
AU2.3	Provide a dedicated staff in adequate numbers to perform the necessary pharmacy audit functions. The Program Integrity (PI) unit will coordinate the data analysis task between the contractor and the RAC to prevent duplication of effort.

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Optum acknowledges and will comply with this requirement.

[REDACTED]

[REDACTED]

Key Performance Indicators - Pharmacy Audits

Identifier	Description
AU2.4	Provide staffing to include a pharmacist licensed in the State of Arkansas, a pharmacy technician with good analytical accounting skills, and a data analyst with knowledge of Medicaid Programs along with ICD-9, ICD-10, and CPT Codes. (see Section 3.2)

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Optum acknowledges and will comply with this requirement.

[REDACTED]

Key Performance Indicators - Pharmacy Audits

Identifier	Description
AU2.7	Complete a desk audit within 30 days of notification for miss-bills or any billing issues.

Optum acknowledges and will comply with this requirement. Please refer to our response to Identifier AU1.1 for a description of our desk audit process.

Key Performance Indicators - Pharmacy Audits

Identifier	Description
AU2.8	Audit every enrolled pharmacy Provider at a minimum of once yearly.

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Optum acknowledges and will comply with this requirement.

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3.1.4 Provider Profiling

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3.1.4.1 Provider Profiling Responsibilities - State

Table 19 Provider Profiling Responsibilities – State

Provider Profiling Responsibilities – State	
Identifier	Description
T20PP.1	Provide policy direction and make administrative decisions regarding SURS

Optum acknowledges the State of Arkansas role and responsibility for this requirement.

Provider Profiling Responsibilities – State	
Identifier	Description
T20PP.2	Determine the frequency, content, format, media, and number of copies (if hard copies are required) and distribution of reports

Optum acknowledges the State of Arkansas role and responsibility for this requirement.

3.1.4.2 Provider Profiling Responsibilities - Contractor

We acknowledge the State’s expectations of Optum with respect to our responsibilities around provider profiling and have responded to each of the State’s requirements in Table 20.

Table 20 Provider Profiling Responsibilities – Contractor

Provider Profiling Responsibilities – Contractor	
Identifier	Description
PP1.1	Improve delivery of health care services and the integrity of the Medicaid program by reducing waste, fraud, and abuse through analysis of Provider performance.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [Redacted]

[REDACTED]

[REDACTED]

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[REDACTED]

Provider Profiling Responsibilities – Contractor	
Identifier	Description
PP1.2	Set, monitor, and report on performance benchmarks that demonstrate sound progress in the detection of fraud and abuse and result in recoupment.

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Optum acknowledges and will comply with this requirement. [REDACTED]



Provider Profiling Responsibilities – Contractor	
Identifier	Description
PP1.3	Provide access to all books, algorithms, documents, papers, and records related to this Contract, to the State, and its designees at no additional expense to the State.

Optum acknowledges and will comply with this requirement. Optum will provide access to all books, algorithms, papers, and records related to this Contract, to the State, and its designees at no additional expense to the State. These and all other helpful reference material can be instantly accessed from the initial FADS Home Page illustrated in Figure 3-16.

Figure 3-16: FADS Home Page. Our FADS Home Page provides direct access to a variety of reports, tools, and user resources.



We will modify some of our existing algorithms for the State use and these modified algorithms will become part of the AME DSS solution. The State will have access to the specific algorithm code, logic, and design as we understand this is often times necessary in the justification process.

Provider Profiling Responsibilities – Contractor	
Identifier	Description
PP1.4	Compile Provider profiles.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

Provider Profiling Responsibilities – Contractor

Identifier	Description
PP1.5	Provide a profile of health care Providers and Members through which the quality, quantity, and timeliness of services can be identified and assessed.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

Provider Profiling Responsibilities – Contractor	
Identifier	Description
PP1.6	Develop and update a parameters file to classify treatment into peer groups by diagnosis or range of diagnosis codes, levels of care, or other methodology for the purpose of developing statistical profiles.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

Provider Profiling Responsibilities – Contractor	
Identifier	Description
PP1.7	Maintain a process to evaluate the statistical profiles of all individual Providers within each peer group (State specified) against the matching exception criteria established for each peer group.

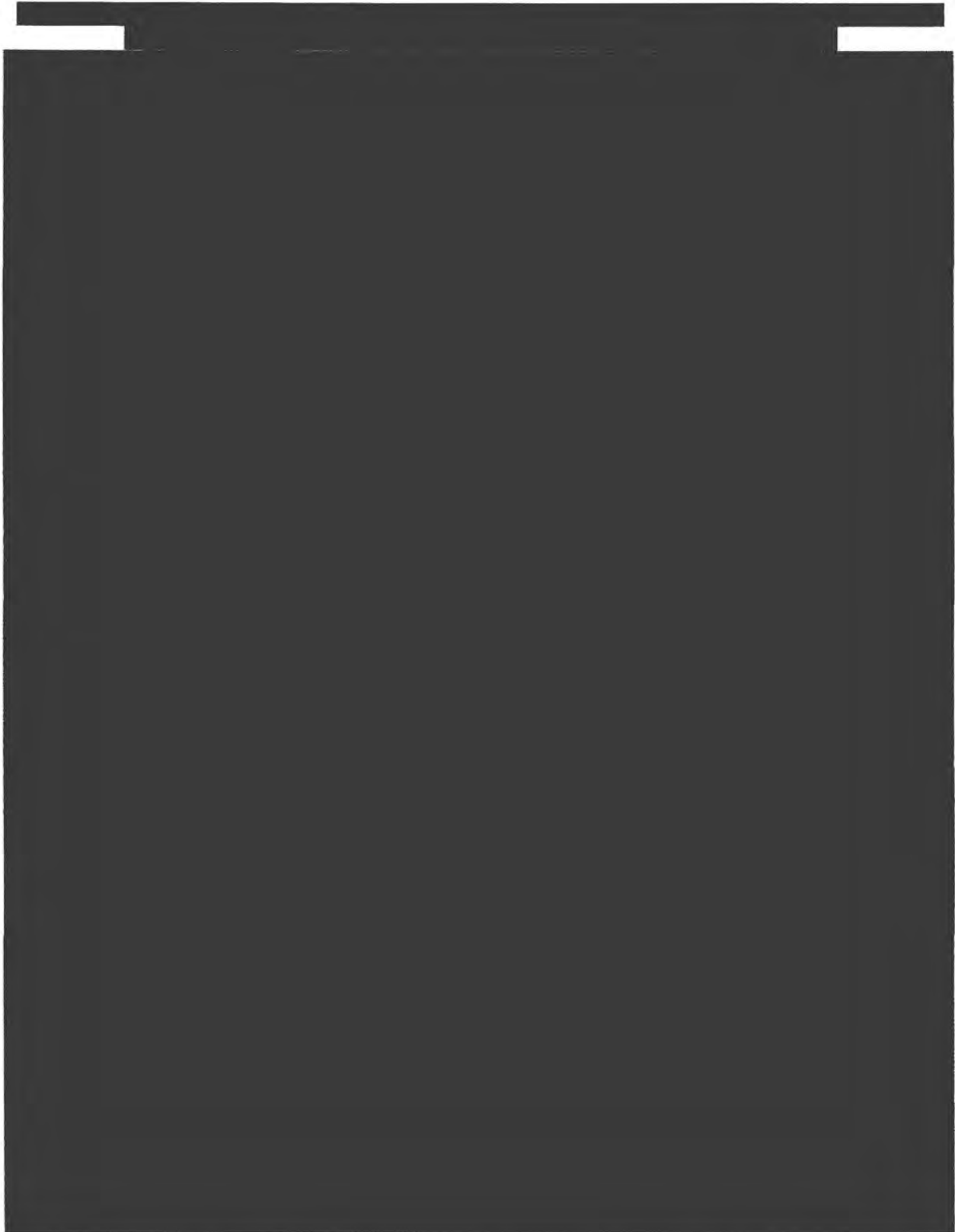
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Optum acknowledges and will comply with this requirement. [REDACTED]

Provider Profiling Responsibilities – Contractor	
Identifier	Description
PP1.8	Provide dashboard to Providers showing how they match with other peers regarding billing and quality comparisons.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]



Provider Profiling Responsibilities – Contractor	
Identifier	Description
PP1.9	Create a comprehensive profile of health care delivery and utilization patterns established in all categories of services, including prescribed drugs, under the Arkansas Medicaid Program.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

Provider Profiling Responsibilities – Contractor	
Identifier	Description
PP1.10	Provide flexibility and responsiveness in addressing how to accommodate mandated changes with enterprise-wide impacts (including programming, rules, code sets, transactions, and end-user interfaces) such as ICD-10.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

Provider Profiling Responsibilities – Contractor	
Identifier	Description
PP1.11	Review pharmacy Provider profiles and identifying those whose practices indicate potential mis-use of the Arkansas Medicaid Program.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

Provider Profiling Responsibilities – Contractor	
Identifier	Description
PP1.11.1	The Contractor is responsible for annual reviews of all enrolled pharmacy Providers to identify non-compliance with Medicaid pharmacy policy, such as but not limited to U&C pricing compared to Medicaid, 340b pricing, and NDC misbills.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

Provider Profiling Responsibilities – Contractor	
Identifier	Description
PP1.11.2	The Contractor is responsible for visiting pharmacy Provider site to conduct reviews of pharmacy records.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

Provider Profiling Responsibilities – Contractor	
Identifier	Description
PP1.12	Track PI-complaints, track and review reports and follow up on suspected prior abusers based on past experience.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

Provider Profiling Responsibilities – Contractor	
Identifier	Description
PP1.13	Support fraud and abuse investigations.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

Provider Profiling Responsibilities – Contractor	
Identifier	Description
PP1.14	Make recommendations for improvements to the SURS area.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

Provider Profiling Responsibilities – Contractor	
Identifier	Description
PP1.15	Train State end-users on financial requirements using business intelligence reporting tools. Tools are to include: 1. Researching and analyzing data 2. Reviewing reports and establishing report parameters 3. Producing complex data queries 4. Researching data sources

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

[REDACTED]

3.1.4.3 Key Performance Indicators - Provider Profiling

We acknowledge the State's expectations of Optum with regarding key performance indicators related to provider profiling and have responded to each of the State's requirements in Table 21.

Table 21 Key Performance Indicators - Provider Profiling

Key Performance Indicators - Provider Profiling	
Identifier	Description
PP2.1	Within 45 State work days of Contract signing, develop a methodology in accordance with CMS standards to calculate the State of Arkansas' Return on Investment (ROI) for the purpose of calculating PIU efforts and to facilitate comparison of the Division's fraud and abuse recovery efforts against those of other states. The methodology will include both recovered and cost-avoided expenditures.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

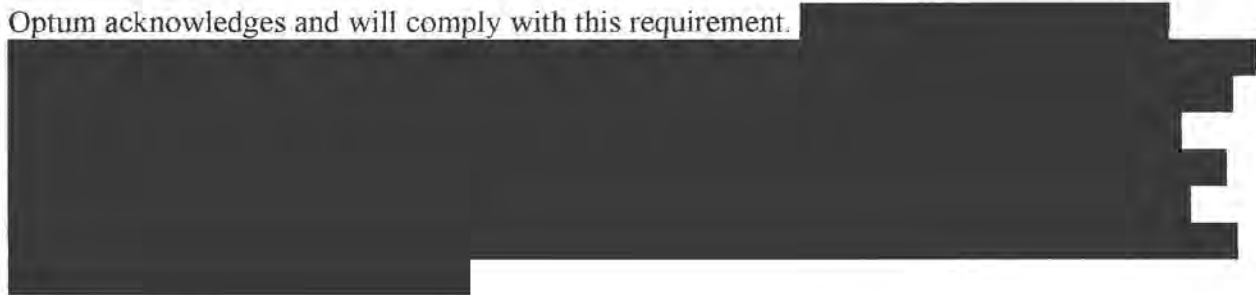
Key Performance Indicators - Provider Profiling	
Identifier	Description
PP2.2	Upon notification that any work is not in compliance with the Contract and/or agency specifications, bring work into compliance within five State work days of written notice from the State.

Optum acknowledges and will comply with this requirement. Upon receipt of written notification that Optum work is not in compliance with the Contract and/or agency specification, Optum will bring the work into compliance within five State work days.

Key Performance Indicators - Provider Profiling	
Identifier	Description
PP2.3	Develop and coordinate the update of the parameters file on the AME to classify Providers into peer groups using criteria such as category of service, Provider type, specialty, type of practice or organization, enrollment status, facility type, geographic region, billing versus performing Provider, and size for the purpose of developing statistical profiles by the end of each quarter, assuring that all Provider types are reviewed in a one-year period.

CONFIDENTIAL

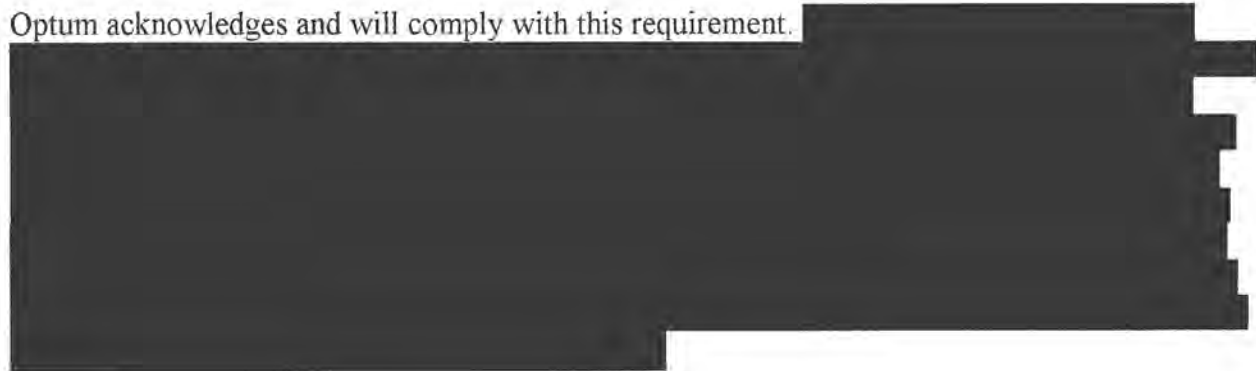
Optum acknowledges and will comply with this requirement.



Key Performance Indicators - Provider Profiling	
Identifier	Description
PP2.4	Develop Medicaid policy-compliant algorithms used in conjunction with the SURS software provided by the Contractor to identify aberrant claims, including those that clearly do not meet the requirements of the Arkansas Medicaid Program, by analyzing and scoring every claim during a five (5) year period.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.



[Redacted]

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3.1.5 Review of Cases

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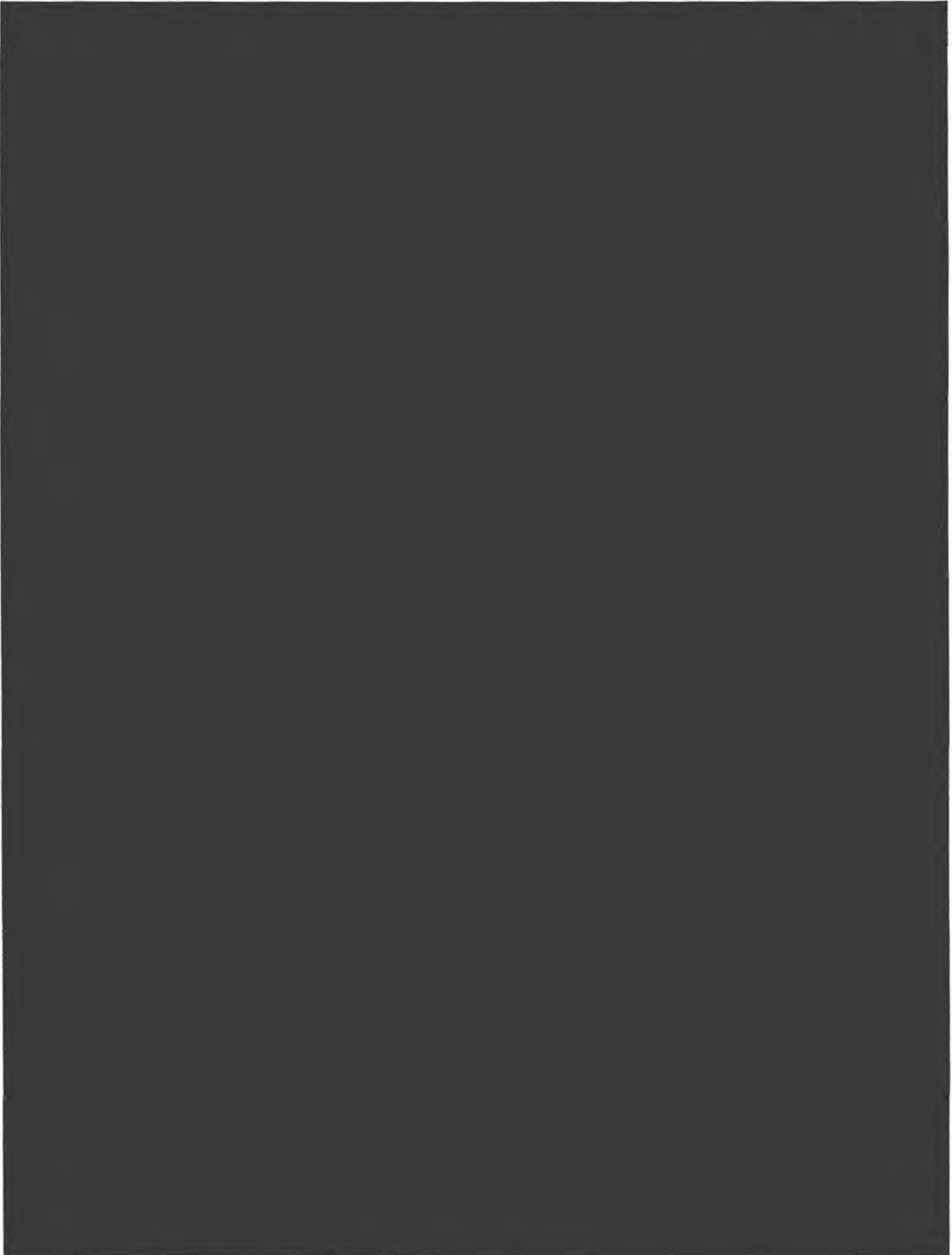
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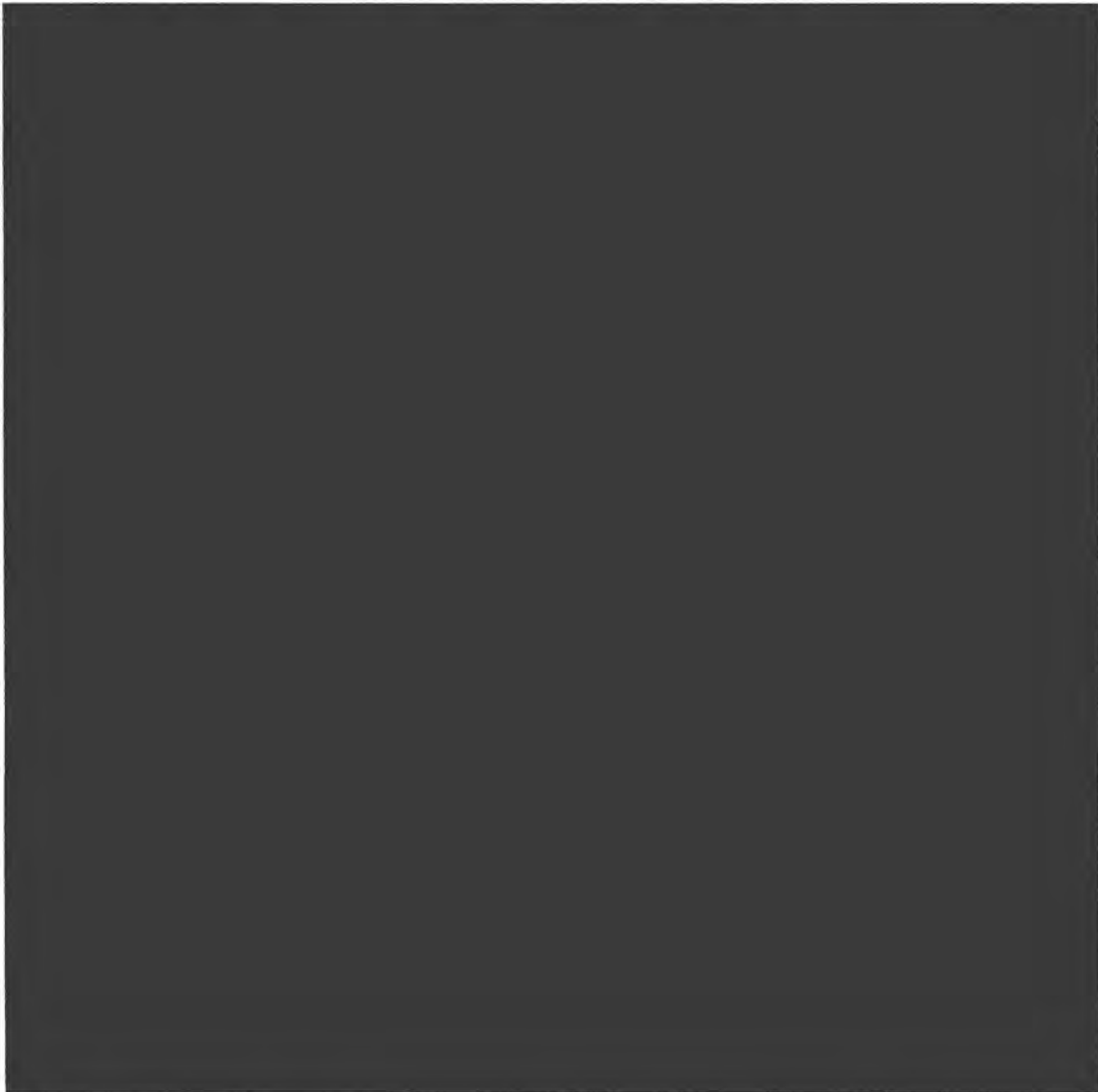
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Pharmacy and Medical Necessity Reviews
CONFIDENTIAL

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3.1.5.1 Review of Cases Responsibilities – State

Table 22 Review of Cases Responsibilities - State

Review of Cases Responsibilities - State	
Identifier	Description
DRC1.1	Provide policy direction and make administrative decisions regarding SURS.

Optum acknowledges the State’s role and responsibility for this requirement.

Review of Cases Responsibilities - State	
Identifier	Description
DRC1.2	Determine the frequency, content, format, media, and number of copies (if hard copies are required) and distribution of reports.

Optum acknowledges the State’s role and responsibility for this requirement.

Review of Cases Responsibilities - State	
Identifier	Description
DRC1.3	Review and approve the Contractor's procedures for conducting desk reviews.

Optum acknowledges the State’s role and responsibility for this requirement.

Review of Cases Responsibilities - State	
Identifier	Description
DRC2.11	Analyze every paid claim, 100%, utilizing SURS system, fraud alert from various private and government agencies, algorithm published by CMS, and the algorithm developed by the Contractor. The Contractor must develop algorithms at the request of the PIU (the State) and must identify Providers who exhibit aberrant practice or utilization patterns, as determined by an exception process, comparing the individuals' profiles to the limits established for their respective peer groups, reviewing each Provider type scheduled in that quarter.

Optum acknowledges the State’s role and responsibility for this requirement.

3.1.5.2 Review of Cases Responsibilities - Contractor

We acknowledge the State’s expectations of Optum regarding our responsibilities around case reviews and have responded to each of the State’s requirements in Table 23.

Table 23 Review of Cases Responsibilities – Contractor

Review of Cases Responsibilities – Contractor	
Identifier	Description
DRC2.3	Provide reports to conduct post and pre-utilization review services for identification of erroneous abusive or otherwise inconsistent claims.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.



Review of Cases Responsibilities – Contractor	
Identifier	Description
DRC2.7	Review the Arkansas State Plan, Federal and State regulations, and policy to ensure the appropriateness and accuracy of SURS practices.

Optum acknowledges and will comply with this requirement. Optum will review the Arkansas State Plan, Federal and State regulations, and policy to validate the appropriateness and accuracy of SURS practices as we have done in other states where we operate SURS.

Review of Cases Responsibilities – Contractor	
Identifier	Description
DRC2.8	Develop and establish a Provider pre-payment review plan for Medicaid Providers who demonstrate a pattern of billing outside acceptable norms.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.



Review of Cases Responsibilities – Contractor	
Identifier	Description
DRC2.9	Provide data as well as witness testimony, if required, for any investigation, dispute resolution meeting, or hearing arising from data.

Optum acknowledges and will comply with this requirement. Optum will provide data as well as witness testimony, if required, for any investigation, dispute resolution meeting, or hearing arising from data.

Review of Cases Responsibilities – Contractor	
Identifier	Description
DRC2.10	Aid management in ensuring that only medically necessary covered services and items, including prescribed drugs, are provided in the appropriate setting at the lowest cost.

Optum acknowledges and will comply with this requirement. Optum will aid management in making certain that only medically necessary covered services and items, including prescribed drugs, are provided in the appropriate setting at the lowest cost.

Review of Cases Responsibilities – Contractor	
Identifier	Description
DRC2.15	Analyze and propose cost avoidance initiatives and regular self-review requests to Providers, including credit balance reviews for hospitals and other institutional Providers.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.



Review of Cases Responsibilities – Contractor	
Identifier	Description
DRC2.16	Provide a basis for the outliers identified utilizing data analysis tools to conduct medical reviews to verify that covered health care services have been documented and that payments have been made in accordance with State and federal policies, regulations, and statutes.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.



Review of Cases Responsibilities – Contractor	
Identifier	Description
DRC2.17	Support the PI Unit by tracking overutilization and underutilization of health care services.

Optum acknowledges and will comply with this requirement. As also described in Proposal Section 3.1.6 Surveillance and Utilization Review Responsibilities, Optum will support the PI Unit by tracking overutilization and underutilization of health care services. The analytic tools we are providing, FADS, SURS, and the DSS data warehouse with Symmetry EBM Connect all provide ways to study and track overutilization and underutilization of health care services. SURS uses peer grouping and outlier analysis to identify utilization patterns. We will be including the ability to examine provider services in SURS by episodes of care. The Symmetry episode and risk grouper provide enriched data to examine utilization patterns by individual or provider population risk. EBM Connect provides the State the ability to examine service provided against national standards for what services should have been provided. This kind of DSS based advanced analysis will be done by the business analyst, report, and subject matter staff provided for the DSS, supported by FADS staff and consulting services.

Review of Cases Responsibilities – Contractor	
Identifier	Description
DRC2.20	Develop and maintain written procedures for all analytical activities, including review criteria for all Provider groups.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

Review of Cases Responsibilities – Contractor	
Identifier	Description
DRC2.21	Comply with the Department SURS staff to discuss analytical outcomes

Optum acknowledges and will comply with this requirement. Optum will confer with the State SURS staff to discuss analytical outcomes. We perform this activity in all of the states where we provide SURS capability.

Review of Cases Responsibilities – Contractor	
Identifier	Description
DRC2.26	Meet all the federal certification standards for operation of surveillance and utilization review functions.

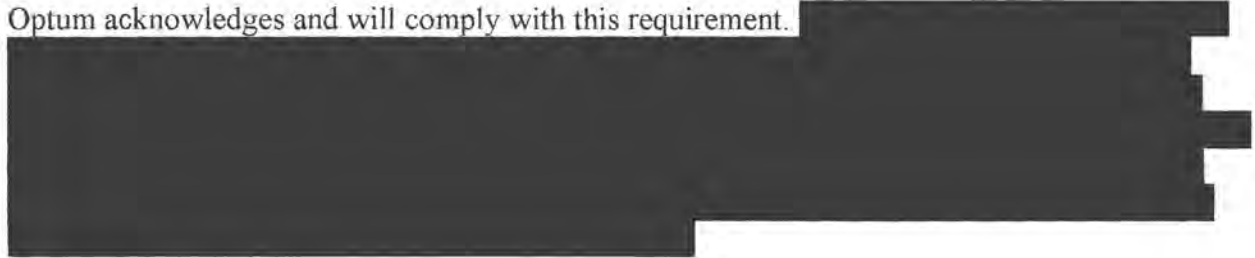
CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

Review of Cases Responsibilities – Contractor	
Identifier	Description
DRC2.31	Produce a quarterly identification of the medical services for which overutilization is most prevalent.

CONFIDENTIAL

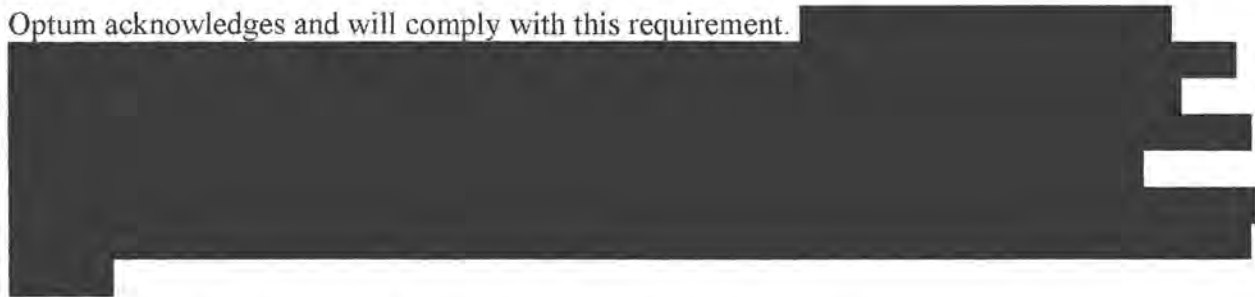
Optum acknowledges and will comply with this requirement.



Review of Cases Responsibilities – Contractor	
Identifier	Description
DRC2.32	Assist PIU as needed for appeal hearings for all SURS cases that result in an appeal by the Provider.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.



3.1.5.3 Key Performance Indicators - Review of Cases

Table 24 Key Performance Indicators - Review of Cases

Key Performance Indicators - Review of Cases	
Identifier	Description
DRC3.1	Report findings from medical record reviews to the Department 3 State work days after the close of the month.

Optum will report findings from completed medical record reviews to the State three work days after the close of the month.

Key Performance Indicators - Review of Cases	
Identifier	Description
DRC3.2	<p>In each Contract year, recover no less than 350% of the total State cost of SURS and Provider review activities including the following:</p> <ol style="list-style-type: none">1. Measurable and quantifiable recoveries, which are actual recoupment's made and money received.2. Avoided costs, which are those expenses eliminated or reduced as reducing future costs of the Medicaid program (such as identifying a AME Core System edit that will reduce costs of Medicaid claims).3. Enhanced revenues that are additional recoveries that the SURS staff identified, including those funds that are included in pending appeal hearings at any point in time. <p>This KPI is measured across two (2) consecutive contract years. If the Contractor fails to meet this KPI the State will take appropriate action to remedy the deficiency. State actions may result in termination of the contract.</p>

CONFIDENTIAL

Optum understands and will comply with this requirement. [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

Key Performance Indicators - Review of Cases	
Identifier	Description
DRC3.3	<p>Annually review a random minimum sample of 1/2 percent (.5) percent of paid claims.</p> <p>The reviews will involve performing both in-house and field reviews. Review cases must include Providers who exceed calculated norms and a random sample of similar types of Providers who do not exceed norms. These reviews are performed at the header and detail claim level. At a minimum the State requires the contractor to provide the following types of feedback reporting information: Number of cases identified from data analysis, desk review and auto recoupment, number of pharmacy review conducted on site as well desk review onsite review referred to PI unit "State Staff" total ROI cost avoidance, identify policy weakness, and for the contractor to suggest changes to the policy.</p>

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

Key Performance Indicators - Review of Cases	
Identifier	Description
DRC3.4	Open a minimum of 60 cases for Provider reviews during each quarter according to the following criteria: <ol style="list-style-type: none">1. All cases referred from the Department must be opened in the quarter referred.2. Review cases must include both Providers who exceed calculated norms, and a random sample of Providers who do not exceed norms.3. The Contractor must describe in its Proposal the percentage of cases to be opened for Providers who exceed the norm and the percentage of cases for the random sample.4. The State requires a 95% confidence level for the random sample.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

[REDACTED]

[REDACTED]

Key Performance Indicators - Review of Cases	
Identifier	Description
DRC3.5	On average for all cases, complete reviews within 90 calendar days when all documentation required necessary to perform the review has been obtained.

Optum acknowledges and will comply with this requirement. When all documentation required to perform the review has been obtained, Optum will complete all reviews within 90 calendar days.

Key Performance Indicators - Review of Cases	
Identifier	Description
DRC3.6	Proposals for cost avoidance measures submitted by SURS staff Members or other entities will be analyzed and addressed with a response for proposed action (including the option of closure) within 30 calendar days of the date the Proposal was submitted.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

Key Performance Indicators - Review of Cases	
Identifier	Description
DRC3.7	Proposals for cost avoidance measures that have been approved for follow-up action to be implemented by the SURS unit will be addressed with the identified follow-up action within 45 calendar days of the date that the Proposal was approved by the State.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

[REDACTED]

[REDACTED]

3.1.6.1 Surveillance and Utilization Review Responsibilities - State

Table 25 Surveillance and Utilization Review Responsibilities – State

Surveillance and Utilization Review Responsibilities – State	
Identifier	Description
T26SUR.1	Provide policy direction and make administrative decisions regarding SURS.

Optum acknowledges the State’s role and responsibility for this requirement.

Surveillance and Utilization Review Responsibilities – State	
Identifier	Description
T26SUR.2	Determine the frequency, content, format, media, and number of copies (if hard copies are required) and distribution of reports.

Optum acknowledges the State’s role and responsibility for this requirement.

Surveillance and Utilization Review Responsibilities – State	
Identifier	Description
T26SUR.3	Review and approve the Contractor’s procedures for conducting desk reviews.

Optum acknowledges the State’s role and responsibility for this requirement.

3.1.6.2 Surveillance and Utilization Review Responsibilities – Contractor

We acknowledge the State’s expectations of Optum regarding our responsibilities around SURS and have responded to each of State’s requirements in Table 26.

Table 26 Surveillance and Utilization Review Responsibilities – Contractor

Surveillance and Utilization Review Responsibilities – Contractor	
Identifier	Description
PISS3.20	Provide SURS report as directed by State.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

Surveillance and Utilization Review Responsibilities – Contractor

Identifier	Description
PISS4.6	Provide end-user training based on a schedule to be defined by State on topics such as: system use, statistical parameter setting, interpretation of reports, algorithms used, new elements or analysis procedures, enhanced cost avoidance capabilities and other pertinent analytical techniques.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

[REDACTED]

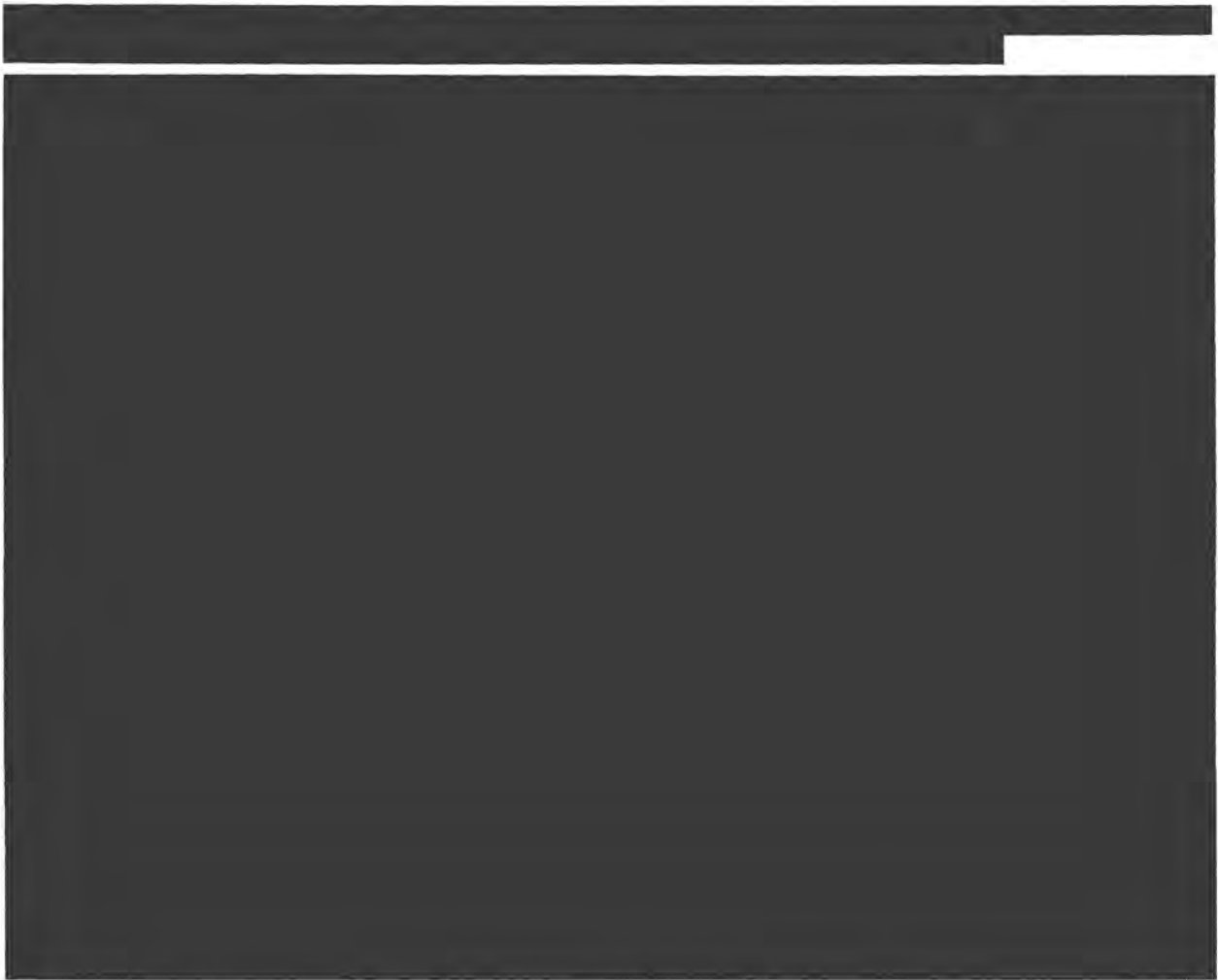
Surveillance and Utilization Review Responsibilities – Contractor

Identifier	Description
PISS4.8.1	Provide updated system and end-user SURS documentation.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

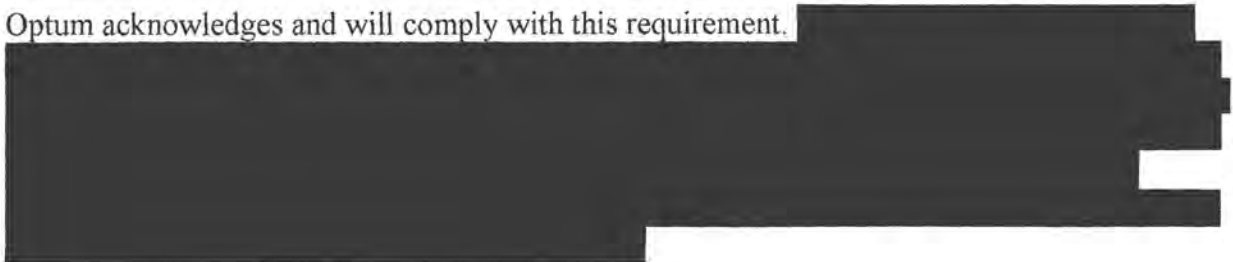
[REDACTED]



Surveillance and Utilization Review Responsibilities – Contractor	
Identifier	Description
PISS4.17	Provide Provider reconciliation report of claim activity by end-user-defined time period to payment to see every claim reported and voided.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.



Surveillance and Utilization Review Responsibilities – Contractor	
Identifier	Description
CRSS3.21	Identify specific training needs and frequencies for SURS; Conduct training every month as directed by the State. Obtain State approval for the training sessions and trainers. Ensure that trainers are knowledgeable in the areas covered.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

Surveillance and Utilization Review Responsibilities – Contractor	
Identifier	Description
OPER1.97	Maintain and operate a solution that meets current Federal PI requirements.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

Surveillance and Utilization Review Responsibilities – Contractor	
Identifier	Description
PIU1.4	Support pattern recognition and provide an automated fraud and abuse analytical profiling for the ongoing monitoring of Provider and Member claims to detect patterns of potential fraud, abuse and excessive billing.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

Surveillance and Utilization Review Responsibilities – Contractor	
Identifier	Description
PIU1.5	Apply clinically approved guidelines against episodes along with State approved episode mode of care to identify instances of treatment inconsistent with guidelines.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

Surveillance and Utilization Review Responsibilities – Contractor	
Identifier	Description
PIU1.5.1	Operate and maintain the SURS area in compliance with State and Federal requirements including modifications and enhancements as they are implemented.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

Surveillance and Utilization Review Responsibilities – Contractor	
Identifier	Description
PIU1.5.2	Assume complete responsibility for the maintenance, security, and operation of all computer programs and data files that are part of the SURS area.

Optum acknowledges and will comply with this requirement. Optum will assume complete responsibility for the maintenance, security, and operation of all computer programs and data files that are part of the SURS area. The solution is an integrated part of our overall AME DSS solution and is governed by the overall AME DSS system architecture and security model.

Surveillance and Utilization Review Responsibilities – Contractor	
Identifier	Description
PIU1.5.3	Maintain and operate the SURS area efficiently with responsive processing time and products.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

Surveillance and Utilization Review Responsibilities – Contractor

Identifier	Description
PIU1.5.4	Provide at least annual training for State staff on these and other pertinent topics: system use, statistical parameter setting, interpretation of reports, algorithms used, new elements or analysis procedures, and other pertinent analytical techniques. Note: May be replaced by the SURS liaison requirements.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

[REDACTED]

Surveillance and Utilization Review Responsibilities – Contractor

Identifier	Description
PIU1.5.5	Provide correct reports to State in format and media and on a schedule stipulated by State.

Optum acknowledges and will comply with this requirement. Optum will provide correct reports to the State in a format and media, and on a schedule stipulated by the State. Many of FADS base reports are already constructed in a format that meets the CMS PI requirements, and have passed CMS certification.

Surveillance and Utilization Review Responsibilities – Contractor

Identifier	Description
PIU1.5.6	Provide updated system and end-user documentation.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

Surveillance and Utilization Review Responsibilities – Contractor

Identifier	Description
PIU1.5.7	Provide Systems Engineer (SE) expertise for advice to SURS end-users and to assist with training.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

Surveillance and Utilization Review Responsibilities – Contractor

Identifier	Description
PIU1.5.8	Ensure that procedure code updates and yearly CPT conversions are made to the medical criteria file.

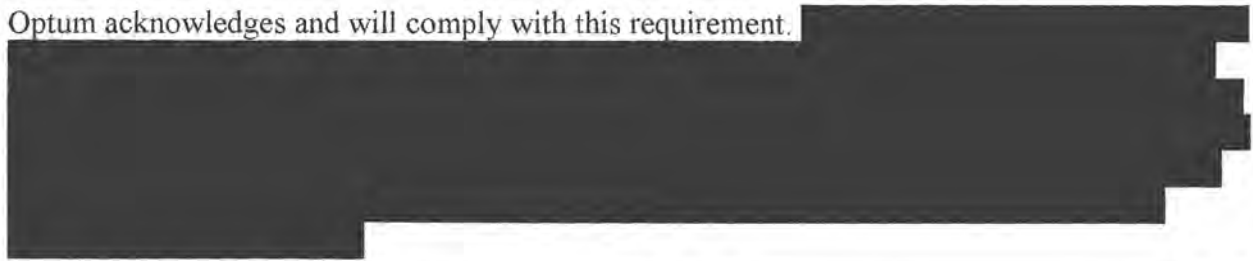
Optum acknowledges and will comply with this requirement. Optum will make sure that all procedure code updates and yearly CPT conversions are available in the medical criteria file when that data is made available to us from the MMIS.

Surveillance and Utilization Review Responsibilities – Contractor

Identifier	Description
PIU1.5.9	Provide enhanced cost avoidance capabilities and train State staff on their use.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

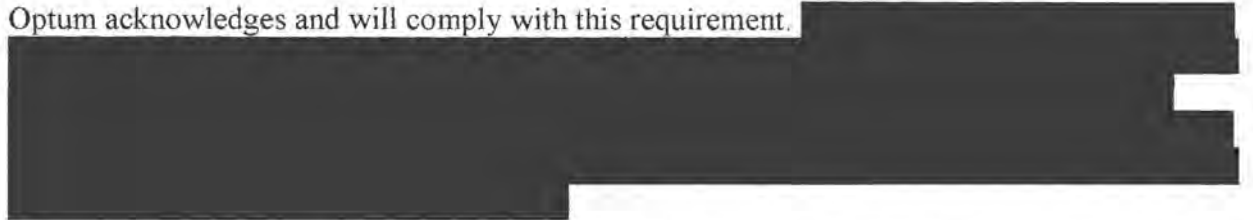


Surveillance and Utilization Review Responsibilities – Contractor

Identifier	Description
PIU1.5.10	Provide and maintain an automated recoupment notification system.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

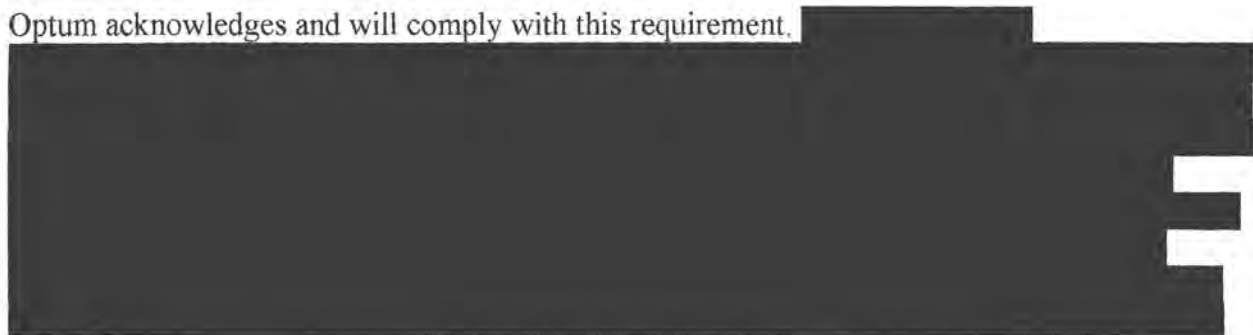


Surveillance and Utilization Review Responsibilities – Contractor

Identifier	Description
PIU1.5.11	Make recommendations for improvements to the SURS area.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.



[REDACTED]

Surveillance and Utilization Review Responsibilities – Contractor	
Identifier	Description
PIU1.5.12	Provide a CMS compliant methodology. The methodology will include both recovered and cost-avoided expenditures.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

Surveillance and Utilization Review Responsibilities – Contractor	
Identifier	Description
PIU1.5.13	The Contractor will provide the methodology within forty-five (45) calendar days of the Contract Start Date.

Optum acknowledges and will comply with this requirement. Optum will provide the methodology within 45 calendar days of the Contract Start Date.

Surveillance and Utilization Review Responsibilities – Contractor	
Identifier	Description
PIU1.5.14	Provide modeling algorithms, scores, or any other techniques as a pre-payment analytical tool supporting proactive payment collections.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[Redacted]

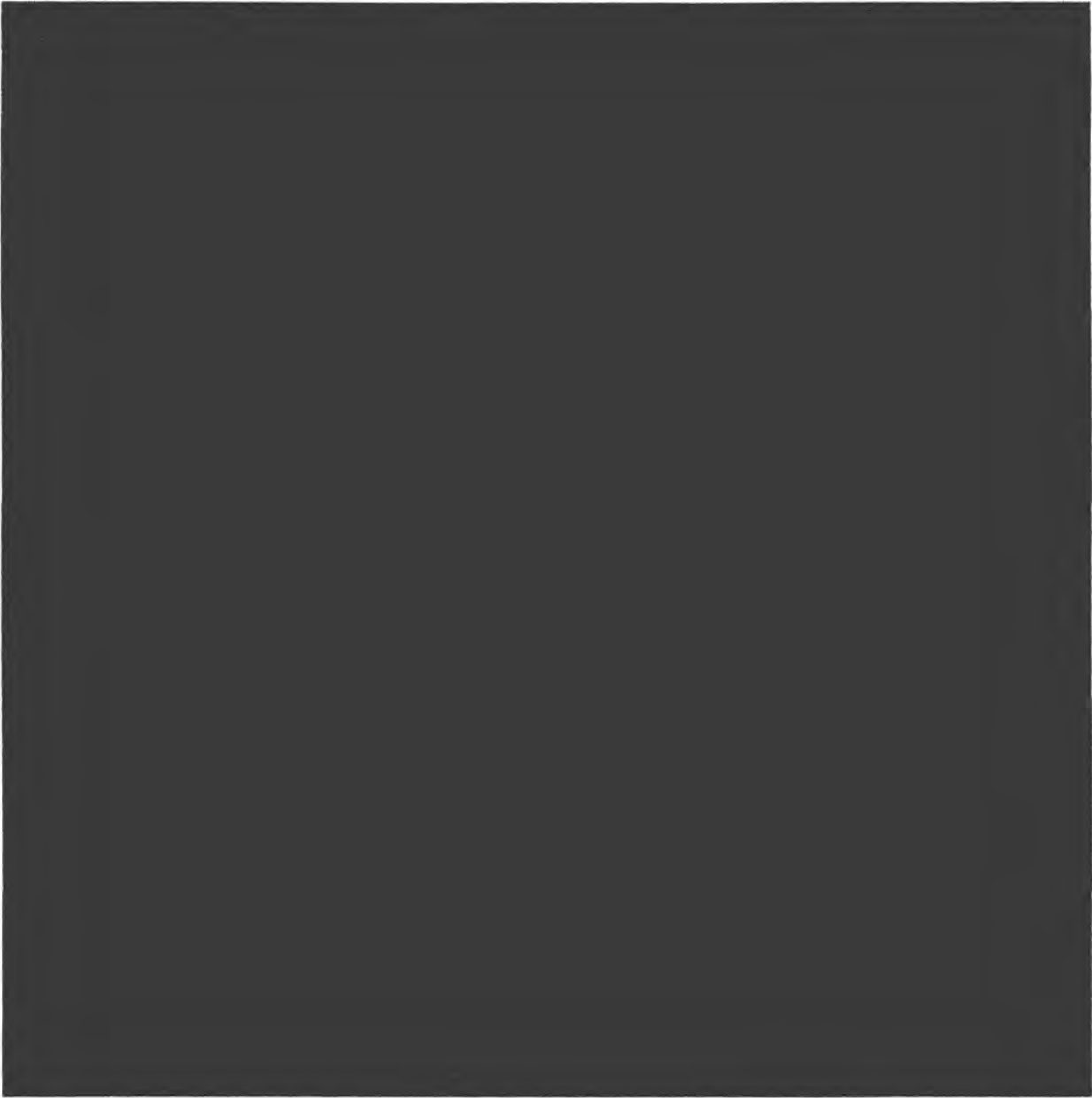
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[REDACTED]

Surveillance and Utilization Review Responsibilities – Contractor	
Identifier	Description
PIU1.5.15	Provide predictive models that generate alerts and that triangulate results to identify high-risk claims and providers most likely to be engaged in fraudulent or wasteful behavior.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

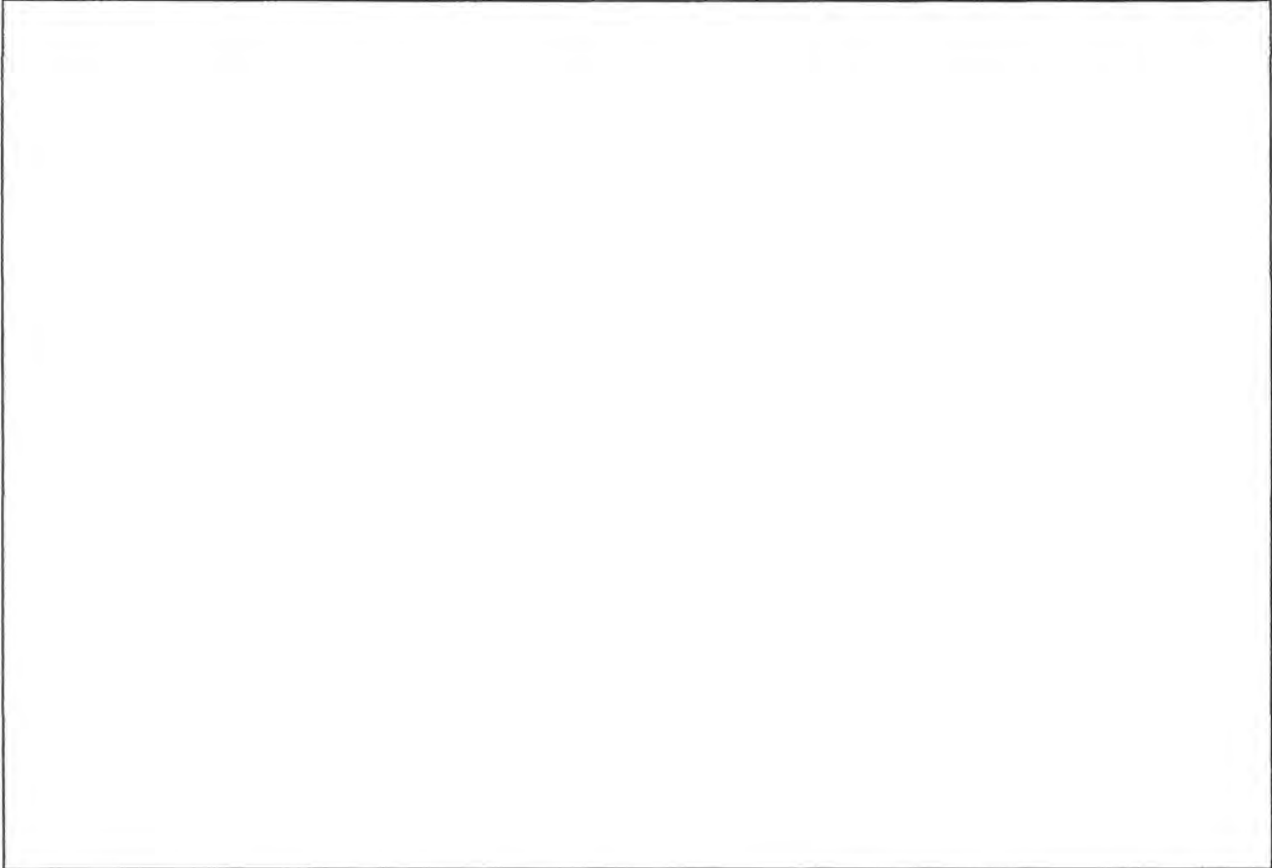
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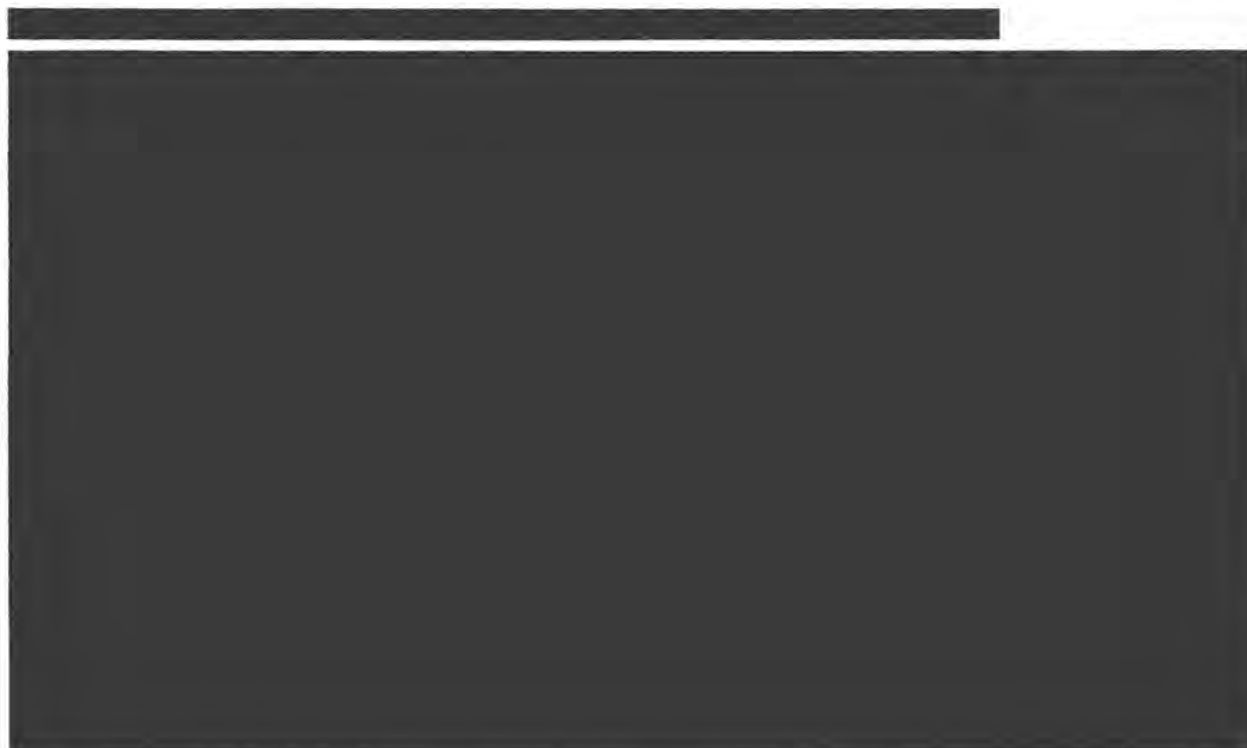
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Figure 3-33: Optum Pre-payment Rule Library. This excerpt gives a few examples of some of the predictive models contained within our repository of analytics. CONFIDENTIAL





3.1.6.3 Key Performance Indicators – Surveillance and Utilization Review

Table 27 Key Performance Indicators – Surveillance and Utilization Review

Key Performance Indicators – Surveillance and Utilization Review	
Identifier	Description
PIU1.6	Set, monitor, and report on performance benchmarks that demonstrate sound progress in the detection of fraud and abuse and result in recoupment.

Optum acknowledges and will comply with this requirement. Optum will set, monitor, and report on performance benchmarks that demonstrate sound progress in the detection of fraud and abuse and result in recoupment.

Key Performance Indicators – Surveillance and Utilization Review	
Identifier	Description
PIU1.7	Produce a written framework within ninety (90) calendar days of Contract Start Date for the State’s participation in the CMS Medicare/Medicaid project to include written protocols for identifying Providers, claims, and overpayments.

Optum acknowledges and will comply with this requirement. Optum will produce a written framework within 90 calendar days of Contract Start Date for the State’s participation in the CMS Medicare/Medicaid project to include written protocols for identifying providers, claims, and overpayments.

Key Performance Indicators – Surveillance and Utilization Review	
Identifier	Description
PIU1.8	Develop a methodology in accordance with CMS standards to calculate the State of Arkansas' Return on Investment (ROI) for the purpose of calculating Program Integrity efforts and to facilitate comparison of the State's fraud and abuse recovery efforts against those of other states.

Optum acknowledges and will comply with this requirement. Optum will develop a methodology in accordance with CMS standards to calculate the State of Arkansas' ROI for the purpose of calculating PI efforts and to facilitate comparison of the State's fraud and abuse recovery efforts against those of other states.

Key Performance Indicators – Surveillance and Utilization Review	
Identifier	Description
PIU1.16	Bring work into compliance within five (5) State working days of written notice of any work is not in compliance with the Contract and/or State specifications.

Optum acknowledges and will comply with this requirement. Optum will bring work into compliance within five State working days upon receipt of written notice of any work that is not in compliance with the Contract and/or State specifications.

3.1.7 Fraud Detection

CONFIDENTIAL

[REDACTED]

[REDACTED]

[REDACTED]

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Figures 3-35: Examples of Optum's FADS Fraud Algorithms. This figure provides a sample of analytics that we have implemented in other states to produce successful discoveries and recoveries.



3.1.7.1 Fraud Detection Responsibilities - State

Table 28 Fraud Detection Responsibilities – State

Fraud Detection Responsibilities – State	
Identifier	Description
T29FD.1	Provide policy direction and make administrative decisions regarding Fraud Detection

Optum acknowledges the State of Arkansas role and responsibility for this requirement.

Fraud Detection Responsibilities – State	
Identifier	Description
T29FD.2	Determine the frequency, content, format, media, and number of copies (if hard copies are required) and distribution of reports

Optum acknowledges the State of Arkansas role and responsibility for this requirement.

Fraud Detection Responsibilities – State	
Identifier	Description
T29FD.3	Review and approve the Contractor's procedures for conducting fraud detection

Optum acknowledges the State of Arkansas role and responsibility for this requirement.

3.1.7.2 Fraud Detection Responsibilities - Contractor

We acknowledge the State's expectations of Optum regarding our responsibilities around detection of fraud and have responded to each of the State's requirements in Table 29.

Table 29 Fraud Detection Responsibilities – Contractor

Fraud Detection Responsibilities – Contractor	
Identifier	Description
FDC1.3	Generate random sampling reports, including stratified random sampling with associated statistics using a State approved methodology and in accordance with State regulations.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

Fraud Detection Responsibilities – Contractor	
Identifier	Description
FDC1.25	Produce reports of statistical norms, by peer group, for each indicator contained within each statistical profile by using averages and standard deviations or percentiles and exception limits based on business rules approved by State.

Optum acknowledges and will comply with this requirement. Using the SURS component of FADS, reports are created in the format as shown in the screenshots in Proposal Section 3.1.4 Provider Profiling. Optum will produce reports of statistical norms, by peer group, for each indicator contained within each statistical profile by using averages and standard deviations or percentiles and exception limits based on business rules approved by State.

Fraud Detection Responsibilities – Contractor	
Identifier	Description
FDC1.27	Enterprise Surveillance and Utilization Review (ESUR) reports are the end result of a Study. The formats of the reports are not customizable, with the exception of the State Identification in the report headers. The text designated by the State for those functions will be system defaults and remain constant for all end-users. The end- user, of course, controls the contents of the reports as they create their Studies. The contents and functionality of the ESUR reports are dictated by federal requirements. The reports include: <ol style="list-style-type: none"> 1. Participant Ranking 2. Study Group Participants 3. Participant Profile 4. Claims Header Report 5. Study Profile 6. Report Item Exceptors by Time Period 7. Frequency Distribution Histogram 8. Behavior Pattern Totals 9. Report Item Exception Parameters 10. Study Parameters

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

[REDACTED]

[REDACTED]

Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.1	Develop Medicaid policy-compliant algorithms used in conjunction with data mining software to identify aberrant claims, including those that clearly do not meet the requirements of the Arkansas Medicaid Program, by analyzing and scoring every claim during a five (5) year period. Compliance audits on pharmacies to include but not limited to Usual & Customary (U&C) billing and NDC miss-billing, and compliance on billing for cost for 340b pharmacies.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.2	Develop algorithms that will select, rank, and score pharmacies for on-site audit selection.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.3	Develop algorithms based on clinical and business rules systems that will detect patterns, trends, anomalies, errors, and potential fraudulent activity during desk audits on community pharmacies, 340b pharmacies, specialty pharmacies, home- health IV pharmacies, or compounding pharmacies.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.3.1	Use focus investigation audits when other audit methods, tips, etc., indicate it is necessary. These audits should correlate results of several distinct analyses, including pharmacy location surveillance, request of wholesaler purchase records, in-depth analysis of prescription records, and pharmacy stock analysis.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.3.2	Pharmacy claims identified as potentially overpaid will be flagged for further analysis and manual review by auditor.

Optum acknowledges and will comply with this requirement. Optum will identify pharmacy claims potentially overpaid and flag them for further analysis and manual review by auditors. As part of our proposal we have provided staff who will leverage the FADS component of the AME DSS for pharmacy audits.

Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.4	Use predictive modeling techniques as well as computer algorithms to help identify individual Providers as well as all enrolled pharmacies for review.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

[REDACTED]

Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.5	Develop algorithms to routinely check for waste/abuse/fraud in home health/IV, compounding pharmacies and specialty pharmacies.

Optum acknowledges and will comply with this requirement. Optum will develop algorithms to routinely check for fraud, waste, and abuse in home health/IV, compounding pharmacies and specialty pharmacies.

Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.6	Develop algorithms to identify potential “doctor shoppers” (i.e., individuals seeking narcotics and other abuse-able drugs who use multiple doctors and pharmacies in order to escape detection).

Optum acknowledges and will comply with this requirement. As described in Proposal Section 3.1.4, Provider Profiling, Optum’s SURS has developed algorithms to identify potential “doctor shoppers” (i.e., individuals seeking narcotics and other abuse-able drugs who use multiple doctors and pharmacies in order to escape detection).

Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.7	Develop algorithms to identify parent(s) using child’s ID to fill prescriptions for persons other than the child. This may include verifying through the physician’s office the intended recipient for the prescription in cases where the child and parent have the same name.

Optum acknowledges and will comply with this requirement. Optum will develop and deliver algorithms to identify parents using child’s ID to fill prescriptions for persons other than the child. This may include verifying through the physician’s office the intended recipient for the prescription in cases where the child and parent have the same name.

Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.8	Provide Medicaid pre-and post-utilization review services for the identification of Medicaid payments determined to be erroneous, abusive or otherwise inconsistent with Division policy.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.



Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.9	Provide professional services in an appropriate and cost effective manner to detect and identify payments made to a Medicaid Provider or on behalf of a recipient in violation of Division policy, state regulation, or federal law.

Optum acknowledges and will comply with this requirement. Optum will provide professional services in an appropriate and cost effective manner to help detect and identify payments made to

a Medicaid provider or on behalf of a recipient in violation of Division policy, state regulation, or Federal law.

Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.10	Provide the capability to profile Provider groups and individual Providers within group practices.

Optum acknowledges and will comply with this requirement. As described in Section 3.1.4 Provider Profiling, the FADS component of the Optum AME DSS solution will provide the capability to profile provider groups and individual providers within group practices if the information about an individual provider’s group membership is made available to Optum from the MMIS.

Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.11	Develop Provider, physician, and patient profiles sufficient to provide specific information as to the use of covered TOSs and items, including prescribed drugs.

Optum acknowledges and will comply with this requirement. Optum will develop provider, physician, and patient profiles sufficient to provide specific information as to the use of covered Types of Services (TOS), and items, including prescribed drugs.

Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.12	Profile primary care case managers, including all referrals and other services received by their enrollees.

Optum acknowledges and will comply with this requirement. Optum will profile PCCMs, including all referrals and other services received by their enrollees, using the information about the PCCMs necessary to create the profiles contained on the claims from the MMIS.

Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.13	Automatically identify exceptions to norms of utilization or quality of care standards established by the agency for any type of Provider and any type of Member covered by the State plan.

Optum acknowledges and will comply with this requirement. Optum will automatically identify exceptions to norms of utilization or quality of care standards established by the agency for any type of provider and any type of member covered by the State plan.

Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.14	Provide the capability to develop queries based on clinical guidelines.

Optum acknowledges and will comply with this requirement. Optum will provide the capability to develop queries based on clinical guidelines. We will utilize our Symmetry EBM Connect capability in the AME DSS to provide evidence-based best practices. Symmetry EBM Connect also allows for State specific guidelines to be developed.

Fraud Detection Responsibilities – Contractor

Identifier	Description
PIU2.15	Provide the capability to determine outliers within different selected criteria.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

Fraud Detection Responsibilities – Contractor

Identifier	Description
PIU2.16	Provide capability to aggregate information for diagnosis, patients, age groups, etc.

Optum acknowledges and will comply with this requirement. Optum will provide capability to aggregate information for diagnosis, patients, age groups, etc. At the present time, Optum is successfully providing this functionality to Medicaid PIUs in Washington State, Iowa, New Jersey, Missouri, Colorado, New Mexico, Montana, Wyoming, and the District of Columbia.

Fraud Detection Responsibilities – Contractor

Identifier	Description
PIU 2.17	Track federally assisted program participants separately from other categories of assistance.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

Fraud Detection Responsibilities – Contractor

Identifier	Description
PIU2.18	Identify Members who exceed program norms, ranked in order of severity.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

Fraud Detection Responsibilities – Contractor

Identifier	Description
PIU2.19	Identify services received by Members who are enrolled in selected programs.

Optum acknowledges and will comply with this requirement. The proposed AME DSS data warehouse will contain the information regarding services and member program enrollment information. The ad hoc components can be used to easily create reports of the information in the AME DSS data warehouse to identify services received by members of selected programs.

Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.20	Identify services received by Members who have specified diagnoses.

Optum acknowledges and will comply with this requirement. The ad hoc components can be used to easily create reports of the information in the AME DSS data warehouse to identify services received by members who have specified diagnoses.

Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.21	Link all services to a single Member regardless of the number of historical changes in Member ID.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.22	Profile all services provided to a Member during a single episode of care.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.23	Provide capabilities to identify Members and related Providers receiving services from other states. (CMS Initiative)

Optum acknowledges and will comply with this requirement. Optum will provide capabilities to identify members and related providers receiving services from other states (CMS Initiative), provided that the necessary information is captured on the claims and forwarded to Optum.

For example, Optum helps New Jersey participate in the PARIS (www.acf.hhs.gov/programs/paris) matching program by preparing the client submission file and incorporating the quarterly PARIS match results from ACF into the data warehouse. The data warehouse is an ideal starting point to construct the PARIS submission file: it is a single repository for client eligibility information contained across three source systems (Medicaid, TANF/SNAP, and GA-Cash Assistance). Optum is able to de-duplicate clients in multiple programs, list each client’s program eligibility information in a single record, and assign a specific PARIS contact person based on business rules. The data warehouse platform also makes it easy for contacts in over 25 different offices to receive match reports as soon as the quarterly PARIS match file is received from ACF and loaded to the data warehouse. Optum enriches the match data by providing current address information and updated eligibility status to the “hits,” thereby preventing stale data.

New Jersey’s Medicaid unit is using the enriched PARIS reports in conjunction with clients’ claims history to target termination letters to PARIS matches. By targeting capitated, low-utilizing PARIS matches, NJ is able to maximize its yield in the PARIS investigation process. Although New Jersey has not published readily accessible PARIS cost savings reports, the data warehouse supports New Jersey’s internal cost avoidance calculations by tracking termination actions and monthly per member capitation rates for PARIS hits.

Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.25	Provide the ability to update information real-time with standards applied to each data element.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.



Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.26	Maintain a process to apply weighting and ranking of exception report items to facilitate identifying the highest deviators.

Optum acknowledges and will comply with this requirement. Optum will maintain a process within its SURS component to apply weighting and ranking of exception report items to facilitate identifying the highest deviators.

Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.28	Allow comparisons in utilization review between institutional and community care and aberrations outside the median service delivery.

Optum acknowledges and will comply with this requirement. As described in Proposal Section 3.1.6 Surveillance and Utilization Review Responsibilities, Optum will allow comparisons in

utilization review between institutional and community care and aberrations outside the median service delivery.

Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.29	Provide capabilities to track and investigate complaints received. Also track suspected prior abusers based on past experience.

Optum acknowledges and will comply with this requirement. As described in Proposal Section 3.1.5 Review of Cases, Optum will provide capabilities within its Case Tracking component to track and investigate complaints received. It can also track suspected prior abusers based on past experience.

Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.30	Report the identification of any person or agency alleged to have committed waste and abuse to the Division. Information shall include, but not be limited to: <ol style="list-style-type: none"> 1. Recipient Medicaid identification number; 2. All active Provider numbers in which an identified Provider is billing Medicaid. It is the Vendor's responsibility to verify the Provider is actively billing Medicaid; 3. The name, address and telephone number with a narrative of the suspected inappropriate billing; 4. All associated claims data and files.

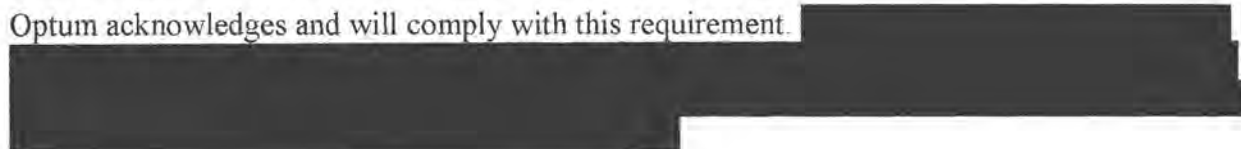
Optum acknowledges and will comply with this requirement. Optum will report the identification of any person or agency alleged to have committed waste and abuse to the Division. Information will include:

1. Recipient Medicaid identification number
2. All active provider numbers in which an identified provider is billing Medicaid; we will verify the provider is actively billing Medicaid
3. The name, address and telephone number with a narrative of the suspected inappropriate billing
4. All associated claims data and files

Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.31	Support waste, abuse and fraud investigations.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.



Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.33	Provide capabilities to identify Random Sample and the ability to extrapolate the results.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.



Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.34	Participate in monthly meetings to discuss alleged overpayments.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.



Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.34.1	After an existing deficiency has been determined, the Vendor shall develop all relevant criteria needed to implement systematic editing in the MMIS and/or the fiscal agent's software, as warranted, to identify and address future occurrences of the same type of overpayments to Providers.

Optum acknowledges and will comply with this requirement. After an existing deficiency has been determined, Optum will develop all relevant criteria needed to implement systematic editing in the MMIS and/or the fiscal agent's system, as warranted, to identify and address future occurrences of the same type of overpayments to providers.

Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.35	Assist with fraud and abuse investigations as directed.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.



Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.36	Review the Arkansas State Plan, federal/state regulations, and policy to ensure the appropriateness and accuracy of SURS practices.

Optum acknowledges and will comply with this requirement. Optum will review the Arkansas State Plan, Federal and state regulations, and policy to provide the appropriateness and accuracy of SURS practices.

Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.37	Ensure that procedure code updates and yearly CPT conversions are made to the medical criteria file.

Optum acknowledges and will comply with this requirement. Optum will make sure that the procedure code updates and yearly CPT conversions are made to the medical criteria file when that data is made available to us from the MMIS.

Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.38	Include an indexing feature for an electronic document management system to access RAs by financial paid date.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.39	Schedule dispute resolution meetings and assist Program Integrity Staff with meetings.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.40	Develop and establish a Provider pre-payment review plan for Medicaid Providers who demonstrate a pattern of billing outside acceptable norms.

CONFIDENTIAL

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

Fraud Detection Responsibilities – Contractor

Identifier	Description
PIU2.41	Provide data as well as witness testimony, if required, for any investigation, dispute resolution meeting, or hearing arising from data concerning a Medicaid Provider identified by the Vendor Software. All referrals must be submitted to the Division. The Vendor is not to contact any other agency unless approved by the Division.

Optum acknowledges and will comply with this requirement. Optum will provide data as well as witness testimony, if required, for any investigation, dispute resolution meeting, or hearing arising from data concerning a Medicaid provider identified by the components of the AME DSS. All referrals must be submitted to the Division. Optum will not contact any other agency unless approved by the Division.

Fraud Detection Responsibilities – Contractor

Identifier	Description
PIU2.42	Provide capabilities to track all collections of claims for all liable or responsible recipients, Providers, their agents and other persons to recover improper Medicaid payments or reimbursements, including interest and applicable penalties.

Optum acknowledges and will comply with this requirement. Optum will provide the Case Tracking Component of FADS to track Program Integrity cases. The PIU will use this capability to document and account for all collections of claims for all liable or responsible recipients, providers, their agents and other persons to recover improper Medicaid payments or reimbursements, including interest and applicable penalties.

Fraud Detection Responsibilities – Contractor

Identifier	Description
PIU2.43	Centralize all information on Members, Providers, and claims in one location to ensure appropriate control and to facilitate access by MMIS and other systems.

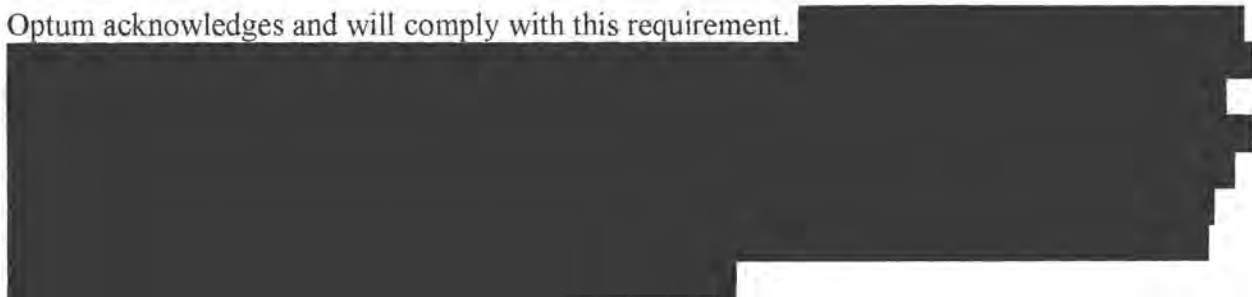
Optum acknowledges and will comply with this requirement. Optum will centralize all information on recipients, providers, and claims in one data warehouse location to ensure appropriate control and to facilitate access by authorized MMIS users and authorized users from other systems.

Fraud Detection Responsibilities – Contractor

Identifier	Description
PIU2.44	Provide capabilities to data mine by episodes of care.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

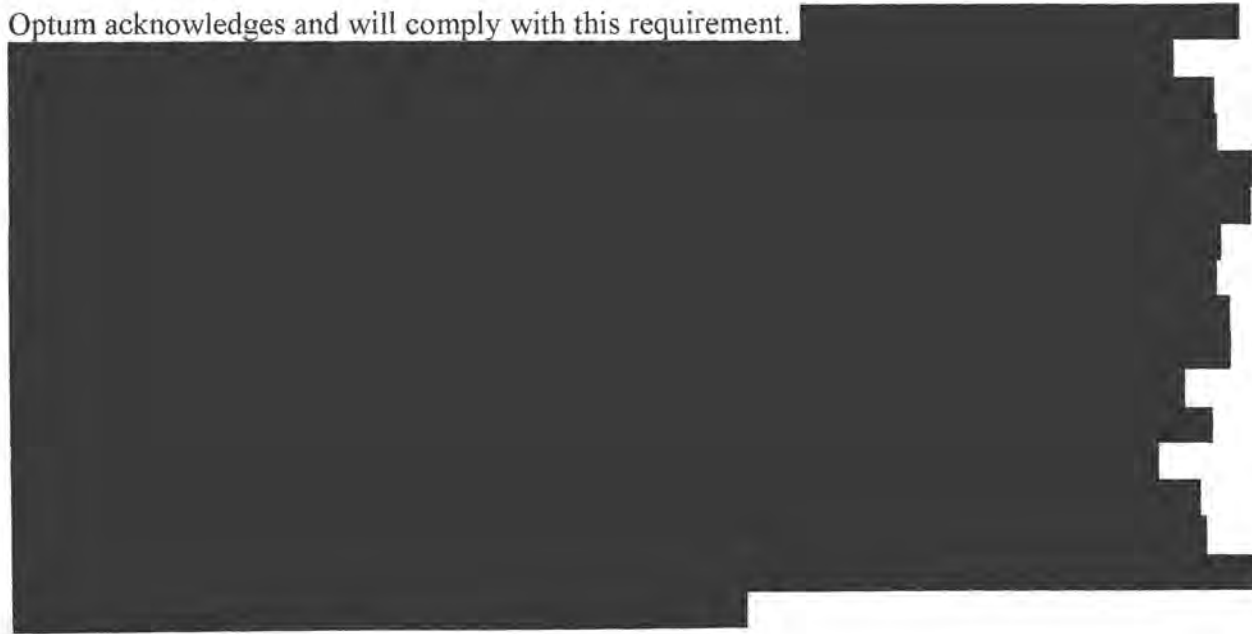


Fraud Detection Responsibilities – Contractor

Identifier	Description
PIU2.45	Emphasize pre-payment analysis and enhance post-payment analysis to identify patterns of potential waste, abuse and fraud.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.



[REDACTED]

Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.46	Enhance ability to detect high cost users of Medicaid services.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.47	Provide ability to produce reports to track and analyze trends in Provider practice patterns and to monitor primary care case management (PCCM).

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.48	Provide users with electronic access to information in pre-defined report formats and user-definable custom reports. Users will be able to download reports in formats that allow importing into other PC applications.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.49	Develop a comprehensive statistical profile of health care delivery and utilization patterns established by Provider and Member participants in various costs of service authorized under the Medicaid program.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.50	Display all data by National Provider Identifier (NPI) or by a subset of the Provider's practice.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.51	Provide information that reveals and facilitates investigation of potential defects in the level of care and quality of service provided under the Medicaid program.

CONFIDENTIAL

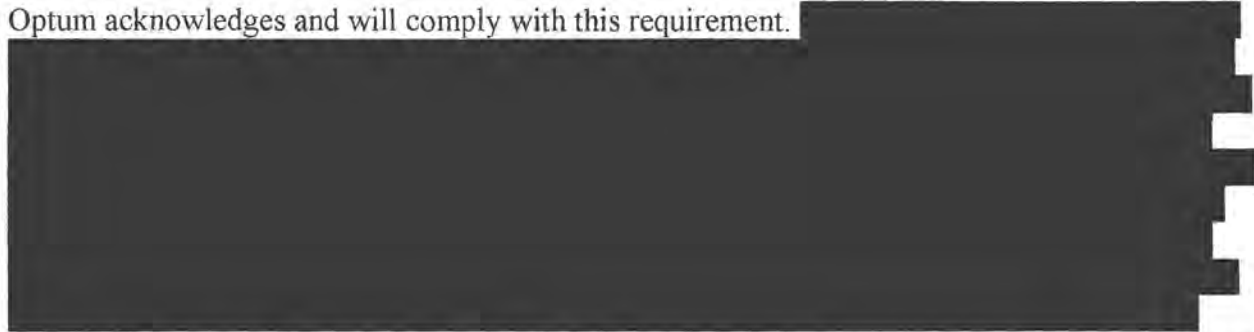
Optum acknowledges and will comply with this requirement. [REDACTED]

Fraud Detection Responsibilities – Contractor

Identifier	Description
PIU2.52	Provide the capability to develop Provider, physician, and patient profiles sufficient to provide specific information as to the use of covered types of service and items, including prescribed drugs, and alert to possible misuse of Medicaid.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

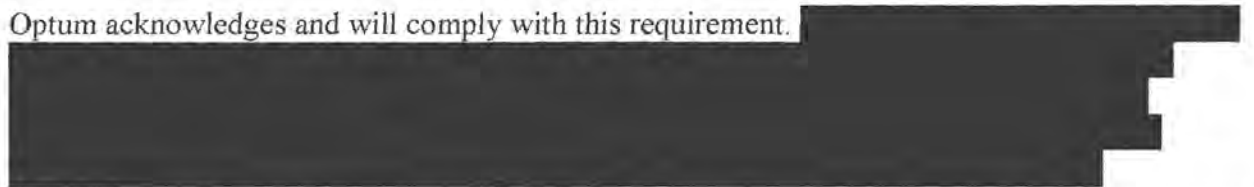


Fraud Detection Responsibilities – Contractor

Identifier	Description
PIU2.53	Utilize a minimum level of manual clerical effort in providing information that reveals potential defects in level of care and quality of service.

CONFIDENTIAL

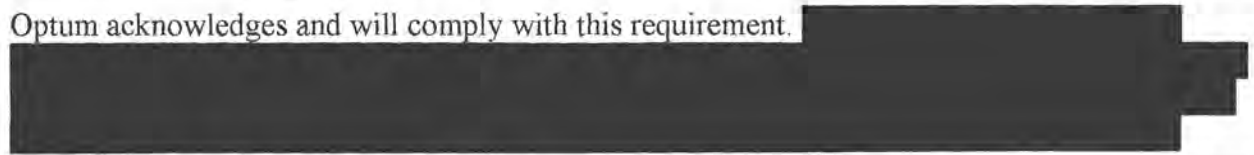
Optum acknowledges and will comply with this requirement.



Fraud Detection Responsibilities – Contractor

Identifier	Description
PIU2.54	Select claims and encounter data dating back to whatever time period is appropriate for the specific research being performed.

Optum acknowledges and will comply with this requirement.

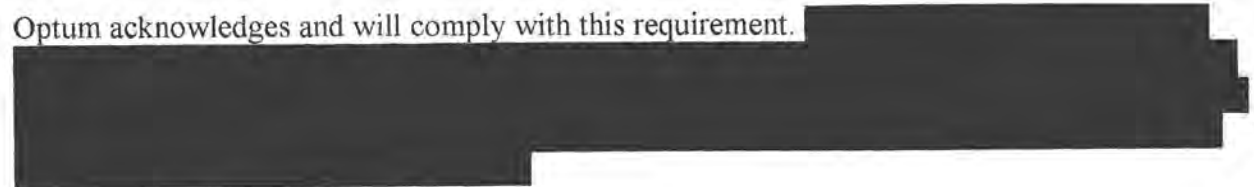


Fraud Detection Responsibilities – Contractor

Identifier	Description
PIU2.55	Ensure the system has the capability to suppress processing on an individual within specified categories on a run-to-run basis.


CONFIDENTIAL

Optum acknowledges and will comply with this requirement.



Fraud Detection Responsibilities – Contractor	
Identifier	Description
PIU2.56	Investigates and reveals misutilization of the state's Medicaid program services by individual participants and promotes corrective action.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. 

3.1.7.3 Key Performance Indicators – Fraud Detection


Table 30 Key Performance Indicators – Fraud Detection

Key Performance Indicators – Fraud Detection	
Identifier	Description
T31FD.1	Develop algorithms to capture and analyze claim information to detect fraud and abuse within timeframes established by the State.

Optum acknowledges and will comply with this requirement. Please see Figure 3-35.

Key Performance Indicators – Fraud Detection	
Identifier	Description
T31FD.2	Produce routine and ad hoc reports on schedules determined by the State.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. 



3.1.8 Management and Administration Reporting

CONFIDENTIAL



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[Redacted]

[Redacted]

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4 SYSTEMS REQUIREMENTS

Optum will deliver a customized, Web-based DSS user interface for the Arkansas Medicaid Enterprise (AME) Decision Support System (DSS). Our solution is based on commercial off the shelf (COTS) software that is proven in Medicaid. Unlike many DSS solutions, the user interface we provide is flexible and highly customizable to meet Arkansas specific needs. The DSS user interface will primarily be developed using IBM Cognos Business Intelligence (BI) software following Optum's established and managed procedure development and maintenance approaches. The Oracle Relational Database Management System-based data warehouse and Third Normal Form (TNF) data model design provides maximum flexibility to add and integrate additional data sources and provide data to external systems.

CONFIDENTIAL

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4.1 Federal Requirements

Table 39 Federal System Requirements

MECT Requirements	
Identifier	Description
DSS1	Support better understanding and management of the Medicaid program by collecting and organizing Medicaid-related data and making this data available in a timely and effective manner.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

MECT Requirements	
Identifier	Description
DSS1.1	Identify relationships between <i>key</i> entities in the Medicaid enterprise.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

MECT Requirements	
Identifier	Description
DSS1.2	At a minimum, transfers data from Core System claims history, Member enrollment, Provider enrollment, and primary reference data (e.g., diagnosis, procedure, National Drug Code (NDC), and pricing) information.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

MECT Requirements

Identifier	Description
DSS1.3	Accept data in a variety of formats from a variety of additional sources, e.g., Vital Statistics, Managed Care Organization (MCO) encounter data, Benefit Manager encounter data (pharmacy, dental, mental health), Waiver program data and Census Department.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

MECT Requirements	
Identifier	Description
DSS1.4	Refresh or replace all historical claim data, Member enrollment, Provider enrollment and other primary reference data on a scheduled basis.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

[REDACTED]

MECT Requirements	
Identifier	Description
DSS1.5	Associate clinical data (e.g., claims attachment) with the claim record.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

MECT Requirements	
Identifier	Description
DSS1.6	Maintain synchronization of claims and encounter record dates with Provider and Member record dates (i.e., a claim or encounter is always linked to the Provider status and Member status segments associated with the date of service).

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

MECT Requirements	
Identifier	Description
DSS2	Provide timely and effective reports for management planning and control.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]

[REDACTED]

MECT Requirements	
Identifier	Description
DSS2.1	Support simple queries and preformatted reports that are easy to access, follow a user-friendly protocol and produce responses immediately.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

[REDACTED]

- [REDACTED]
- [REDACTED]

[REDACTED]

[REDACTED]

MECT Requirements	
Identifier	Description
DSS2.2	Provide ad-hoc reporting capability that presents summarized information on key factors (e.g., number of enrollees, total dollars paid) to executive staff upon request.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

MECT Requirements

Identifier	Description
DSS2.3	Provide ad-hoc query capability for retrieval of data relevant to specific operational units, e.g., claims resolution, prior authorization (PA) and medical necessity review.

Optum acknowledges and will comply with this requirement.

[REDACTED]

MECT Requirements	
Identifier	Description
DSS2.4	Support retrieval and presentation of data associated with geographic indicators such as by state, by county and by zip code.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

MECT Requirements	
Identifier	Description
DSS2.5	Support Federal reporting requirements when these requirements are met through the DSS.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

[REDACTED]

[REDACTED]

MECT Requirements	
Identifier	Description
DSS2.6	Extend system flexibility by adding enhanced reporting above and beyond what is available through other Core System functions.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

MECT Requirements	
Identifier	Description
DSS2.7	Support a variety of formats and output options (e.g., MS Word, MS Excel, Hyper Text Mark-up Language (HTML), MS Access database, or graphical user interface (GUI) formats).

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

MECT Requirements	
Identifier	Description
DSS2.8	Provide online assistance to users to support effective use of data query, data analysis and report formatting capabilities.

CONFIDENTIAL

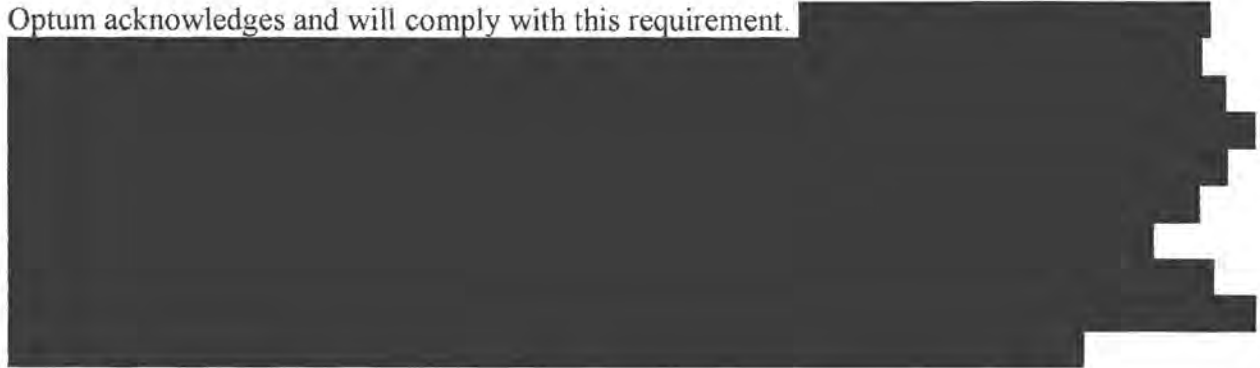
Optum acknowledges and will comply with this requirement. [REDACTED]

- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]

MECT Requirements	
Identifier	Description
DSS3	Support improved analysis for decision-making.

CONFIDENTIAL

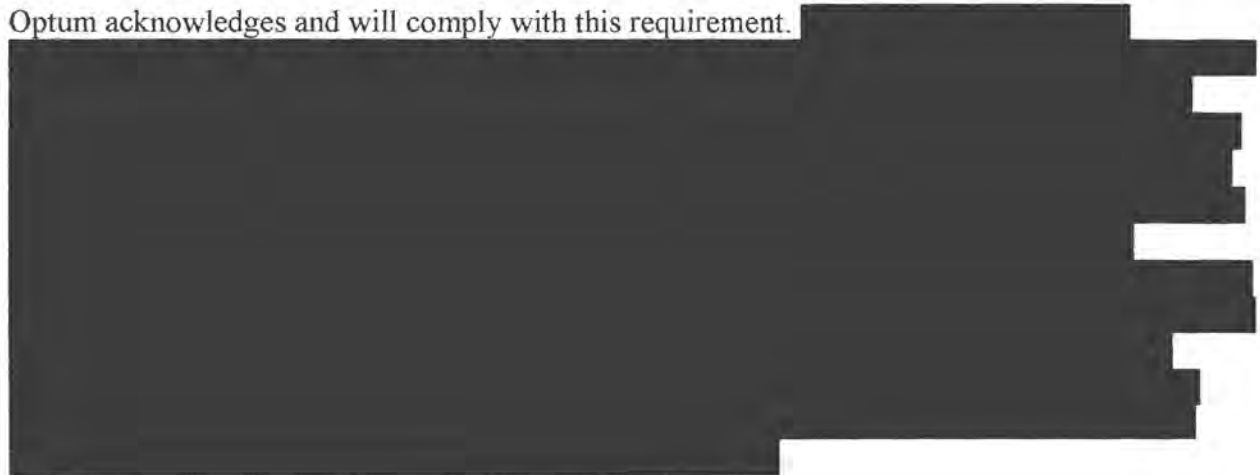
Optum acknowledges and will comply with this requirement.



MECT Requirements	
Identifier	Description
DSS3.1	Maintain easy access to data relevant to the needs of staff as anticipated in the APD and/or RFP (e.g., claims adjudication, prior approval, medical review, utilization review, and analysis of specific payment areas; pharmacy, dental, and inpatient, etc.).

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.



MECT Requirements	
Identifier	Description
DSS3.2	Support a range of analysis actions including: benefit modeling, utilization management (UM), Provider-Member-MCO profiling, program planning, forecasting, program assessment, Provider or contractor performance, quality assurance, fraud detection, comparison of Fee-for-Service (FFS) and managed care, and other functions as described in the APD and/or RFP.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

- [REDACTED]

- [REDACTED]

- [REDACTED]

- [REDACTED]

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[REDACTED]

MECT Requirements	
Identifier	Description
DSS3.3	Support analytical staff through <i>sophisticated analytical tools that perform specific analytical functions (e.g., statistical analysis, comparative analysis, financial trends, case-mix adjustments with time ranges specified in the APD and/or RFP).</i>

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

MECT Requirements	
Identifier	Description
DSS3.4	Collect and summarize data for specific user communities (e.g., data marts or cubes) such as program analysis staff, research group, and financial management unit.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

MECT Requirements	
Identifier	Description
DSS3.5	Provide reports that allow users to drill down from summarized data to detailed data.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

MECT Requirements	
Identifier	Description
DSS3.6	Demonstrate support for standard summarized data to be accessed by agency executives (e.g., Executive Information System or dashboards).

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

[Redacted]

[Redacted]

[Redacted]

- [Redacted]

- [Redacted]

- [Redacted]

- [Redacted]

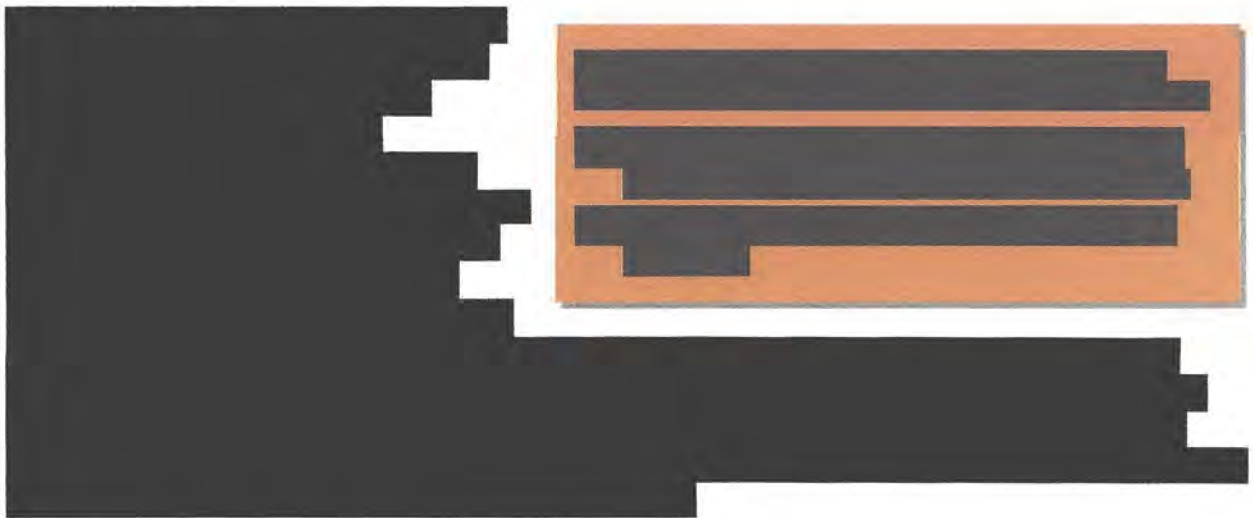
[Redacted]



MECT Requirements

Identifier	Description
FR1	Create and submit to CMS the federally required Medicaid Statistical Information System (MSIS) reports.

CONFIDENTIAL



MECT Requirements	
Identifier	Description
FR1.1	Maintain data sets for MSIS reporting as required.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]

MECT Requirements	
Identifier	Description
FR1.2	Merge into MSIS data from outside sources if required: <ol style="list-style-type: none">1. Capitation payment records from enrollment process2. Eligibility characteristic data from eligibility intake process3. Medicaid services processed by non-Core System State departments, such as mental health services4. Utilization based on managed care encounters

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

- [REDACTED]
- [REDACTED]

[REDACTED]

MECT Requirements	
Identifier	Description
FR1.3	Provide and maintain MSIS data for the following adjudicated claims: 1. Inpatient hospital 2. Long term institutional care 3. Prescription drugs 4. Other, not included in the above categories

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[Redacted]

MECT Requirements	
Identifier	Description
FR1.4	Provide and maintain encounter data in appropriate claim(s) file.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [Redacted]

MECT Requirements	
Identifier	Description
FR1.5	Follow the eligibility reporting guidelines in "A MSIS Tape Specifications and Data Dictionary" document.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [Redacted]

MECT Requirements	
Identifier	Description
FR1.6	Meet MSIS reporting timelines, providing MSIS tapes for submission in accordance with the tape delivery schedules.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [Redacted]

[Redacted]

[Redacted]

[Redacted]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

MECT Requirements	
Identifier	Description
FR2	Create and submit to CMS the federally required EPSDT reports.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

MECT Requirements	
Identifier	Description
FR2.1	Produce the CMS-416 report in accordance with CMS requirements. The report must include: <ol style="list-style-type: none">1. The number of children provided child health screening services2. The number of children referred for corrective treatment3. The number of children receiving dental services4. The State's results in attaining goals set for the State under Section 1905(r) of the Act provided according to a State's screening periodicity schedule

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]

MECT Requirements	
Identifier	Description
FR3	Create and submit to CMS the federally required Home and Community Based Services (HCBS) waiver reports (optional, not needed if State has no waivers).

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

MECT Requirements	
Identifier	Description
FR3.1	Produce the CMS-372 and CMS-372S annual reports on HCBS waivers in accordance with CMS requirements.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

MECT Requirements	
Identifier	Description
FR4	Meet all other Federal Reporting requirements.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]



[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

MECT Requirements

Identifier	Description
FR4.1	Provide data to support the production of CMS-37 quarterly estimates and CMS-64 expenditure reports, CMS-21, CMS-21b, the pharmacy report sent to CMS and Statistical Enrollment Data System (SEDS).

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

MECT Requirements

Identifier	Description
MG5.2	Generate reports to compare FFS claims statistics and PCCM data, re: cost of care, timeliness of care, quality of care, grievance and appeals and outcomes.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

MECT Requirements	
Identifier	Description
MP5.4	Detect under/overutilization of PIHP enrollees using encounter data.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[Redacted]

MECT Requirements	
Identifier	Description
PI1	Improve delivery of health care services and the integrity of the Medicaid program by reducing waste, fraud and abuse through analysis of Provider performance.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[Redacted]

[Redacted]

- [Redacted]
- [Redacted]
- [Redacted]
- [Redacted]
- [Redacted]
- [Redacted]

[REDACTED]

MECT Requirements	
Identifier	Description
PI1.1	Produce comprehensive statistical profiles of Provider health care practices by peer groups for all categories of service(s) authorized under the Medicaid program.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]

[REDACTED]

[REDACTED]

MECT Requirements	
Identifier	Description
PI1.10	Generate early warning reports of high cost services and service misutilization based on current payment data to quickly identify high volume practices.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]
[REDACTED]

[REDACTED]

[Redacted]

[Redacted]

[Redacted]

[Redacted]

[Redacted]

MECT Requirements	
Identifier	Description
PI1.2	Automatically identify deficiencies and generate reports on levels of care and quality of care by Provider type.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

[REDACTED]

MECT Requirements	
Identifier	Description
PI1.3	Automatically report on the details of the practice of Providers identified as exceptions or outliers.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

[REDACTED]

[REDACTED]

MECT Requirements

Identifier	Description
PI1.4	Provide the capability to profile Provider groups and individual Providers within group practices.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

[REDACTED]

MECT Requirements

Identifier	Description
PI1.5	Automatically identify exceptions to norms of practice established by the agency for any type of Provider covered by the State Plan.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

[Redacted]

[Redacted]


[Redacted]



MECT Requirements

Identifier	Description
PI1.6	Display all data by National Provider Identifier (NPI) or by a subset of the Provider's practice.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. 



[REDACTED]

MECT Requirements	
Identifier	Description
<i>PI1.7</i>	Profile primary care case managers, including all referrals and other services received by their enrollees.

CONFIDENTIAL

[REDACTED]



MECT Requirements

Identifier	Description
PI1.8	Perform analysis of rendering, ordering and billing practices to generate reports of aberrant utilization or billing patterns.

CONFIDENTIAL







MECT Requirements

Identifier	Description
PI1.9	Apply clinically approved guidelines against episodes of care to identify instances of treatment inconsistent with guidelines.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. 




[REDACTED]

[REDACTED]

MECT Requirements	
Identifier	Description
PI2	Improve delivery of health care services and the integrity of the Medicaid program by reducing waste, fraud and abuse through analysis of Member utilization.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

MECT Requirements	
Identifier	Description
PI2.1	Automatically identify exceptions to norms of utilization or quality of care standards established by the agency for any type of Member covered by the State Plan.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

[Redacted]

[Redacted]

[Redacted]

MECT Requirements	
Identifier	Description
PI2.2	Track federally assisted program participants separately from other categories of assistance.

CONFIDENTIAL

[Redacted]

[Redacted]

[Redacted]

[Redacted]

MECT Requirements	
Identifier	Description
PI2.3	Identify Members who exceed program norms, ranked in order of severity.

CONFIDENTIAL

[REDACTED]

MECT Requirements	
Identifier	Description
PI2.4	Identify services received by Members who are enrolled in selected programs.

CONFIDENTIAL

[REDACTED]

MECT Requirements	
Identifier	Description
PI2.5	Identify services received by Members who have specified diagnoses.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[Redacted]

[Redacted]

[Redacted]

[Redacted]

[Redacted]

[Redacted]

[Redacted]

[Redacted]

[Redacted]

MECT Requirements	
Identifier	Description
PI2.6	Link all services to a single Member regardless of the number of historical changes in Member ID.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.



MECT Requirements	
Identifier	Description
PI2.7	Profile all services provided to a Member during a single episode of care.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.



MECT Requirements	
Identifier	Description
PI2.8	Provide a methodology and generate a report to classify treatment modalities into peer group categories, by diagnosis or range of diagnosis codes.

CONFIDENTIAL


Optum acknowledges and will comply with this requirement.







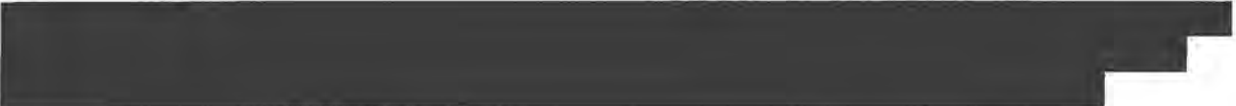
MECT Requirements	
Identifier	Description
PI2.9	Provide (has) the capability to generate reports of individual Members by peer group.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. 

MECT Requirements	
Identifier	Description
PI3	Support analysis of, and provide reports for fraud and abuse analysis and investigations

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. 



[Redacted]

[Redacted]

- [Redacted]

- [Redacted]

- [Redacted]

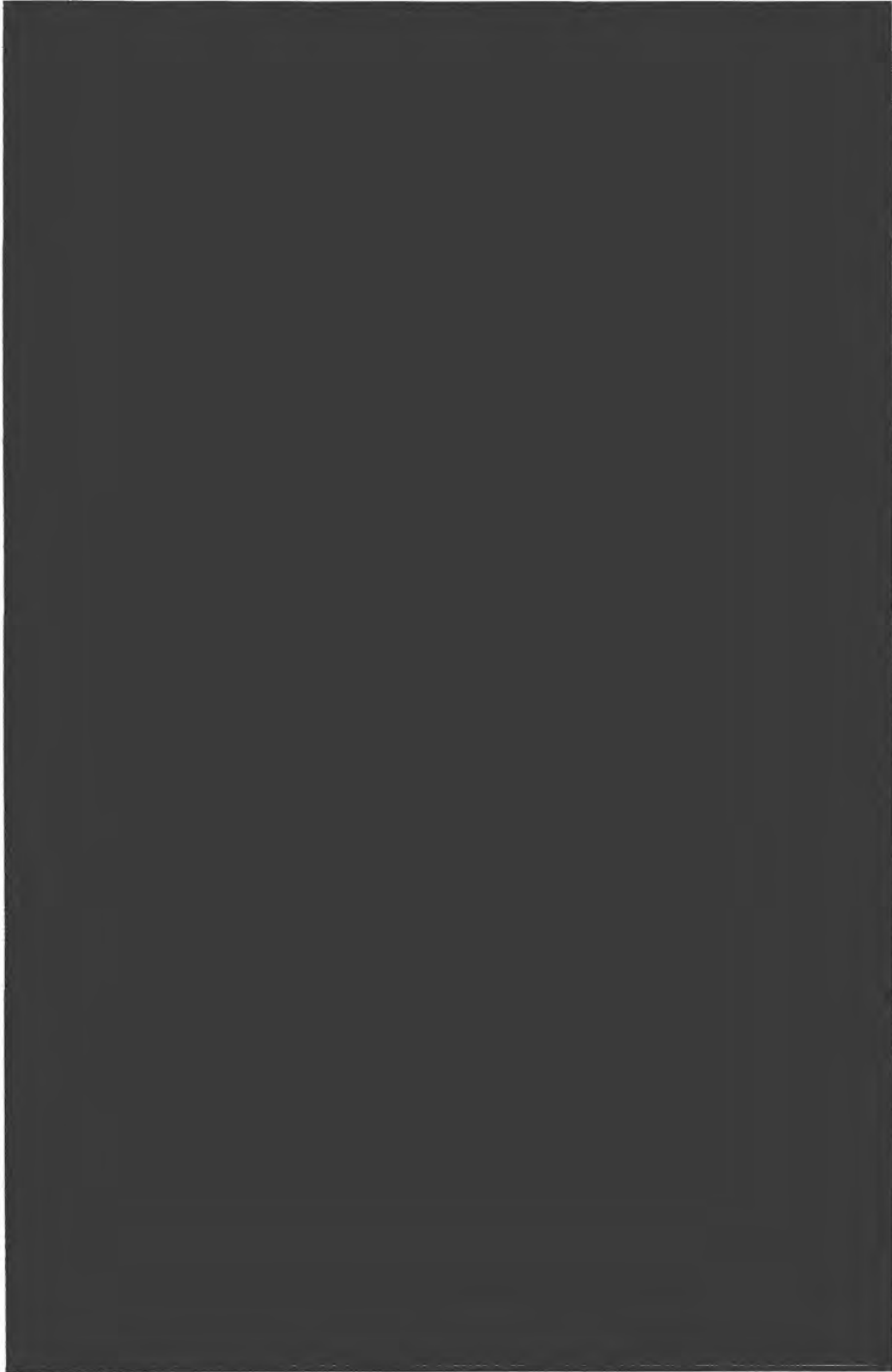
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- [Redacted]



MECT Requirements	
Identifier	Description
PI3.1	Utilize a minimum level of [avoid] manual clerical effort in providing information that reveals potential defects in level of care and quality of service.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

MECT Requirements	
Identifier	Description
PI3.10	Facilitate export of claims-based class groupings such that data can be used by spreadsheet or database software.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

MECT Requirements	
Identifier	Description
PI3.11	Support fraud and abuse investigations.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

[REDACTED]

MECT Requirements	
Identifier	Description
PI3.12	Support pattern recognition and provide an automated fraud and abuse profiling system for the ongoing monitoring of Provider and Member claims to detect patterns of potential fraud, abuse and excessive billing.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

[REDACTED]

MECT Requirements	
Identifier	Description
PI3.13	Provide and store all utilization reports in the medium designated by the State.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

[REDACTED]

MECT Requirements	
Identifier	Description
PI3.14	Provide the flexibility to vary time periods for reporting purposes and to produce reports on daily, monthly, quarterly basis, or other frequency specified by the State.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

[Redacted]

[Redacted]

MECT Requirements	
Identifier	Description
PI3.15	Maintain a process to apply weighting and ranking of exception report items to facilitate identifying the highest deviators.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [Redacted]

[Redacted]

[Redacted]

[REDACTED]

[REDACTED]

[REDACTED]

MECT Requirements	
Identifier	Description
PI3.16	Provide for development and implementation of technical and end-user training programs.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

MECT Requirements	
Identifier	Description
PI3.2	Provide the ability to perform analysis and produce reports responsive to requests from Title XIX managers, QIO and State Medicaid fraud control unites by means of computerized exception processing techniques.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

[REDACTED]

MECT Requirements	
Identifier	Description
PI3.3	Select claims and encounter data dating back to whatever time period is appropriate for the specific research.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

MECT Requirements	
Identifier	Description
PI3.4	Support the capability to produce claim and encounter detail and special reports by Provider-type and Member classification (e.g., category of service (COS) and other key variables (e.g., group practice, case)).

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

MECT Requirements	
Identifier	Description
PI3.5	Support capability to perform focused review and to generate reports of all reviews undertaken.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

[REDACTED]

MECT Requirements	
Identifier	Description
PI3.6	Provide (has) the capability to suppress processing on an individual within specified categories on a run-to-run basis.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

MECT Requirements	
Identifier	Description
PI3.7	Provides access to all data elements outlined in the SMM Part 11 (Part II), section 11335 and all additional data required for appropriate analysis of the program.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

MECT Requirements	
Identifier	Description
PI3.8	Generate reports as needed.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

MECT Requirements	
Identifier	Description
PI3.9	Test criteria and develop algorithms for expected outcomes prior to production of reports.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]



MECT Requirements	
Identifier	Description
PI4	Identify and analyze program trends and directions in Provider, Member and service utilization and expenditure patterns.


CONFIDENTIAL

Optum acknowledges and will comply with this requirement. 



MECT Requirements	
Identifier	Description
PI4.1	Investigate and reveal misutilization of the State's Medicaid program services by individual participants and promote corrective action.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. 



[REDACTED]

MECT Requirements

Identifier	Description
PI4.2	Develop Provider and Member (physician and patient) profiles sufficient to provide specific information as to the use of covered type of service and items, including prescribed drugs.

CONFIDENTIAL

Optum acknowledges and complies with this requirement. [REDACTED]

[REDACTED]

MECT Requirements

Identifier	Description
POS1.7	Interface with the Core System or other payment systems to maintain records of time of claims payment in order for the payment system to pay claims within 30 calendar days of receipt by the POS of an error free claim.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

MECT Requirements

Identifier	Description
WA5.1	Gather (HCBS) data and produce a variety of financial reports to facilitate cost reporting and financial monitoring of waiver programs.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

MECT Requirements

Identifier	Description
WA5.2	Gather (HCBS) data and produce utilization reports for monitoring cost neutrality of waiver services to a target population. The average cost of waiver services cannot be more than the cost of alternative institutional care. State may define average either in aggregate or for each Member.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

4.2 State-Defined Requirements

Table 40 State-defined System Requirements

State-Specific	
Identifier	Description
PISS1.11	Develop queries based on clinical guidelines.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
PISS1.12	Determine outliers within different selected criteria.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [Redacted]

State-Specific	
Identifier	Description
DSR1.1	Provide a catalog of queries, including descriptions of each item, for the State users to view and select as a basis for new ad-hoc reports.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [Redacted]

[Redacted]

[Redacted]

[Redacted]

[Redacted]

[Redacted]

[Redacted]

[Redacted]

State-Specific	
Identifier	Description
DSR1.3	Provide the ability to forecast implications or outcomes for applications such as risk adjustment to managed care rates, changes in a drug's preferred or covered status and changes to rate components for Medicaid reimbursement.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]

State-Specific	
Identifier	Description
DSR1.4	Provide online context sensitive help to guide users in the use of the DSS solution.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

- [REDACTED]
- [REDACTED]

[REDACTED]

State-Specific	
Identifier	Description
DSR1.6	Allow multiple users to simultaneously view shared stored reports.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
DSR1.7	Provide access to DW/DSS functionality for all authorized State agencies.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
DSSSS2.9	Provide dedicated staff with both technical and clinical knowledge for help line assistance for the DSS solution.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

State-Specific	
Identifier	Description
DSSSS2.11	Provide the capability to compare similarities between groups, such as percentages of Members eligible for waiver programs versus those actually utilized services.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

State-Specific

Identifier	Description
DSSSS2.12	Provide access to all data in the DW (via the DSS) in real time or near-real-time for reporting and query purposes.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific

Identifier	Description
DSSSS2.14	Provide query capabilities of all data in the DW/DSS tool.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

- a. [REDACTED]
- b. [REDACTED]
- c. [REDACTED]
- d. [REDACTED]
- e. [REDACTED]
- f. [REDACTED]
- g. [REDACTED]
- h. [REDACTED]
- i. [REDACTED]

[REDACTED]

State-Specific

Identifier	Description
DSSSS3.7	Provide the ability to view medical review information in DSS.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

State-Specific

Identifier	Description
DSSSS3.8.1	Update the DW with financial transaction data (accounts payable and receivable) including claim data associated with the transaction on a schedule defined by the State.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific

Identifier	Description
DSSSS3.9	Provide a predictive and "what if" scenario modeling capability.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

State-Specific	
Identifier	Description
DSSSS3.10	Provide a means to cross-check the financial information between the claims data in the DSS and the financial transactions in the Core System (identify and sustain a single source of truth for all data).

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

- [Redacted]
- [Redacted]
- [Redacted]
- [Redacted]
- [Redacted]

State-Specific	
Identifier	Description
DSSSS3.12	Provide access of files across agencies/departments within the State system to reduce the time it takes to do analysis on programs.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [Redacted]

[Redacted]

[Redacted]

[Redacted]

[Redacted]

[Redacted]

[Redacted]

[Redacted]

[Redacted]

[Redacted]

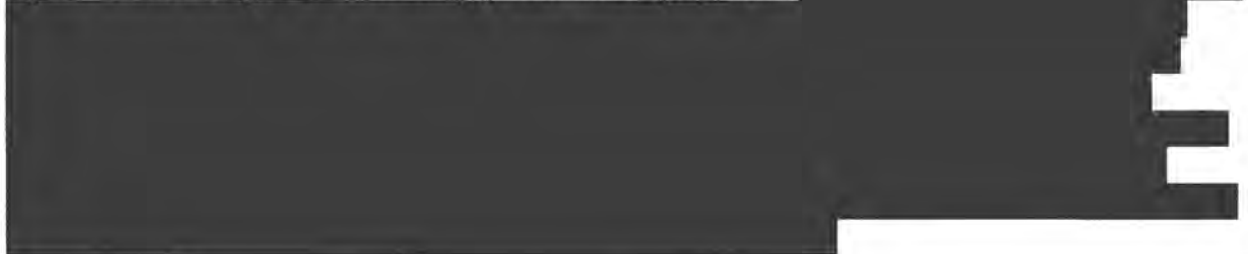
[Redacted]



State-Specific	
Identifier	Description
DSSSS3.15	Propose DSS capabilities and functionality that equals or exceeds those of the current DSS.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.



State-Specific	
Identifier	Description
DSSSS3.16	Provide functional equivalents for the current DSS solution's additional software: <ol style="list-style-type: none">1. MapInfo, a geographical mapping tool that lets users map information according to Member or Provider demographics.2. PC-based Statistical Analyses for the Social Sciences (SASS), a statistical analysis tool.3. DSS Profiler, a subset of information to enhance the analytical capabilities of the DSS that provides partial redundant functionality to Pandora.4. DSS Profiler also provides age/sex/morbidity adjustments that allow concise comparison of information.5. Episode Treatment Groups (ETG) a disease management oriented task and Provider profiling tool that pulls in all claim types and associated diagnosis for more than 500 diseases.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.



[Redacted]

[Redacted]

[Redacted]

[Redacted]

[Redacted]

State-Specific	
Identifier	Description
DSSSS3.19	Provide a DSS solution that operates in a client/server environment that incorporates data warehousing technologies.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

State-Specific	
Identifier	Description
DSSSS3.20	Enable users to access the database through the local area network (LAN) and maintain security through the network and the application itself.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

[Redacted]

State-Specific

Identifier	Description
DSSSS3.24	Provide standard search criteria with smart query functionalities.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [Redacted]

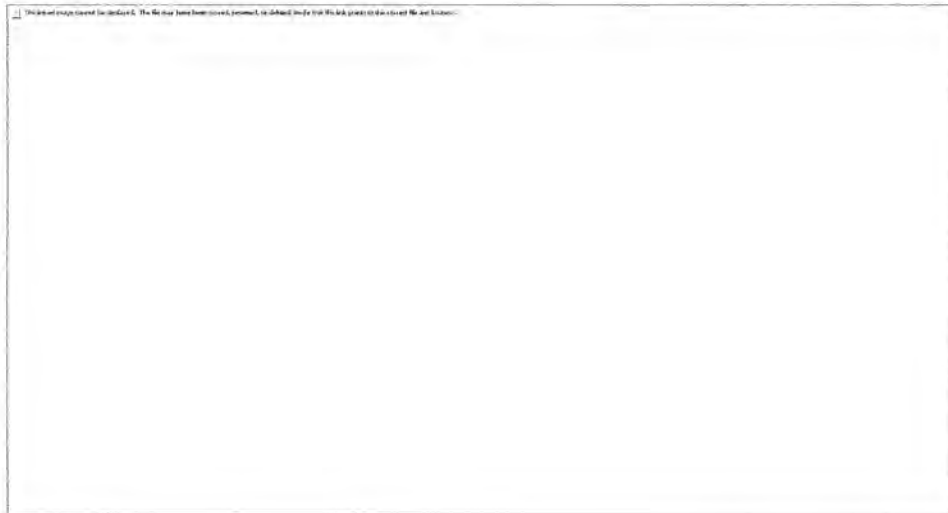
[Redacted]

[Redacted]

[Redacted]

[Redacted]

Figure 4-31: Sample AME DSS Search Results. The AME DSS provides search results that can be filtered improved efficiency.



[Redacted]

[REDACTED]

State-Specific	
Identifier	Description
DSSSS3.25	Update data in the DW/DSS on a schedule to be determined by the State if data cannot be updated in real-time.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

State-Specific	
Identifier	Description
DSSSS3.28	Resolve all DSS data load errors within one State work day of identification of the error.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[Redacted]

[Redacted]

[Redacted]

[Redacted]

[Redacted]

[Redacted]

[Redacted]

[Redacted]

[REDACTED]

State-Specific	
Identifier	Description
DSSSS3.29	Resolve DSS functionality errors within five State work days of identification of the error.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

[REDACTED]

State-Specific	
Identifier	Description
DSSSS3.32	Provide access to standard reports and ability to conduct searches by name using a standard nomenclature or report naming convention.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

State-Specific	
Identifier	Description
DSSSS3.37	Provide detailed audit trail reporting of DSS data queries and data records retrieved and manipulated.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

State-Specific	
Identifier	Description
DSSSS3.38	Provide standard, customizable and ad hoc reporting and query capabilities to support all State and Core System business area reporting needs of the State.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

State-Specific	
Identifier	Description
DSSSS3.40	Provide state of the art data mining tools for preparing ad hoc reports.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

State-Specific	
Identifier	Description
DSSSS3.41	Provide a document management repository for storing of all routinely generated and ad hoc reports.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
DSSSS3.42	Two requirements: Provide an index to a report dictionary. Automatically update the index when a new report is developed.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
DSSSS3.43	Provide authorized users the ability to produce reports by pulling only specified data fields or modify data fields to produce the report.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]

State-Specific	
Identifier	Description
DSSSS3.46	Obtain user defined reports or formatted canned reports from MARS on an established ad hoc basis.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]

[REDACTED]



State-Specific	
Identifier	Description
DSSSS3.48	Generate enhanced reports by request within timelines defined by the State (i.e., show expenditures for clients by in-home Provider(s), client, services provided, total expenditures, authorized services and services paid).

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [Redacted]

[Redacted]

- a. [Redacted]
- b. [Redacted]
- c. [Redacted]
- d. [Redacted]
- e. [Redacted]

[REDACTED]

State-Specific	
Identifier	Description
DSSSS3.49	Provide Core System data extracts to the State-defined data repositories, warehouses, data marts on a period defined by the State.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement

[REDACTED]

[REDACTED]

State-Specific	
Identifier	Description
FDC1	Provide Fraud Detection Tools.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

State-Specific	
Identifier	Description
FDC1.1	Identify aberrant Provider utilization activity based on criteria defined by the State.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

State-Specific	
Identifier	Description
FDC1.2	Identify aberrant Member utilization activity based on criteria defined by the State.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

State-Specific	
Identifier	Description
FDC1.4	Report any data residing in claims history based on parameters defined by the State.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
FDC1.5	Produce statistical profiles summarizing information on claims history submitted by each Provider over a specified period of time.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

State-Specific	
Identifier	Description
FDC1.6	Produce statistical profiles summarizing information on claims history for each Member over a specified period of time.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

[REDACTED]

State-Specific	
Identifier	Description
FDC1.7	Classify Members into peer groups using criteria such as (but not limited to) age, sex, living arrangement, geographic region, aid category, agency origin, special programs indicator, fund category, case-mix index and LTC indicator for the purpose of developing statistical profiles.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
FDC1.8	Classify Providers into peer groups using criteria such as category of service, Provider type, specialty, type of practice or organization, enrollment status, facility type, geographic region, billing versus performing Provider and size for the purpose of developing statistical profiles.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
FDC1.9	Classify treatment into peer groups, by diagnosis or range of diagnosis codes, level of care, or other methodology for the purpose of developing statistical profiles.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
FDC1.10	Report all claims and specialty referral data, as well as perform exception processing.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

State-Specific	
Identifier	Description
FDC1.11	Detect and establish normative benchmarks for use, cost and treatment patterns based on criteria approved by the State.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

State-Specific	
Identifier	Description
FDC1.12	Detect potential fraud or abuse by using appropriate statistical comparisons approved by the State.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

State-Specific	
Identifier	Description
FDC1.13	Provide alternative report parameters and maintain an indexed library of such report parameters.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

State-Specific	
Identifier	Description
FDC1.15	Identify Members receiving waiver services and report on utilization.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
FDC1.16	Track referral processing to bring data on services ordered by a physician or case manager/gatekeeper into the referring Providers' profiles.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
FDC1.17	Produce profiles for group billers and individual rendering Providers separately.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
FDC1.18	Produce lists of Providers and Members who exceed program norms, ranked in order of severity.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
FDC1.19	Apply weighting and ranking to exception report items to facilitate the identification of those with the highest exception ranking.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

State-Specific	
Identifier	Description
FDC1.21	Maintain a parameter-driven control file that allows the Program Integrity analysts to specify data extraction criteria, report content, parameters and weighing factors necessary to properly identify aberrant situations.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

State-Specific	
Identifier	Description
FDC1.22	Support a user-specified, parameter-driven control system with ad-hoc reporting capabilities based on business rules approved by the State.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

State-Specific	
Identifier	Description
FDC1.23	Provide a reporting function that contains these features: <ol style="list-style-type: none">1. Weighting and ranking of exceptions2. Narrative descriptions of procedures, drugs and diagnoses on reports3. Extensive use of claim data elements for summary item definition4. Definition of unique report groups for every user-defined category of service5. Available number of summary items per report category6. User-specified selection, summarization and non-duplication criteria for claim details

CONFIDENTIAL

Optum acknowledges and will comply with this requirement [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

State-Specific	
Identifier	Description
FRSS4.3	Provide interface with Federal systems for automated reporting and data sharing.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

State-Specific	
Identifier	Description
FRSS4.5	Provide interfaces to the State program offices' data.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
FRSS4.5.1	Provide interfaces to Federal data repositories (e.g., CMS 372, CMS-64 and CMS-21 reports).

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
FRSS4.6	Provide data to support the production of CMS-21, CMS-21b quarterly estimates and expenditure reports, the pharmacy report sent to CMS and Statistical Enrollment Data System (SEDS).

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
MARS1.3	Merge adjudicated claims data, including adjustments, received from the outgoing Respondent to ensure all MAR reports are complete and accurate.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

State-Specific	
Identifier	Description
MARS1.6	Maintain ability to add new COS types and category of LTC and TPL recoupments separately from other collections, eligibility or change existing ones in all MAR reports.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

[REDACTED]

State-Specific	
Identifier	Description
MARS1.8	Provide one online file containing up-to-date summary information on the number and categories of Providers, Members and services, updated monthly.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

State-Specific	
Identifier	Description
MARS1.9	Generate federal statistical reporting in accordance with Federal format and data requirement standards.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

[REDACTED]

[REDACTED]

State-Specific	
Identifier	Description
MARS1.15	Maintain appropriate controls and audit trails to ensure that the most current data is used in all financial reports.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
MARS1.17	Maintain appropriate controls and audit trails to ensure that the most current MAR data is used in all processes relying on the MAR data repository.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
MARS1.30	Support automated retroactive changes that are user driven (e.g., changes in funding match, rate changes).

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
MARS1.31	Ensure that retroactive changes do not change closed totals, retain and reflect revised totals.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
MARS1.32	Establish and update all financial transactions and data based on business rules approved by the State.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
OFAO1.30	Maintain and operate a Replacement DSS System that meets the most recent Federal Program Integrity (PI) requirements.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
OFAO1.31	Train the State staff on the use of the Replacement DSS System PI reporting system, initially and on an ongoing basis or as requested by the State.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.



State-Specific	
Identifier	Description
OFAO1.32	Provide technical assistance as needed to assist the State users in researching problems, reviewing reports, establishing report parameters and analyzing PI data.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.



State-Specific	
Identifier	Description
OFAO1.33	Advise the State of any changes needed in the PI business area or functions to correspond to changes made to other Replacement Core System functions.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.



State-Specific	
Identifier	Description
OFAO1.34	Make recommendations on any area where the Contractor can make improvements.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

[REDACTED]

State-Specific	
Identifier	Description
OFAO1.35	Provide assistance to the State in researching discrepancies.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

State-Specific	
Identifier	Description
OFAO1.36	Perform corrective actions as directed by the State.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

State-Specific	
Identifier	Description
OPER1.102	Respond to the State requests for external data sharing projects within two State work days of receipt of the request.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
OPER1.103	Establish interoperability protocols with data sharing parties.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

[REDACTED]

State-Specific	
Identifier	Description
OPER1.104	Conduct tests and produce test results of data sharing protocols.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

State-Specific	
Identifier	Description
OPER1.105	Test for appropriate security and communications procedures.

CONFIDENTIAL

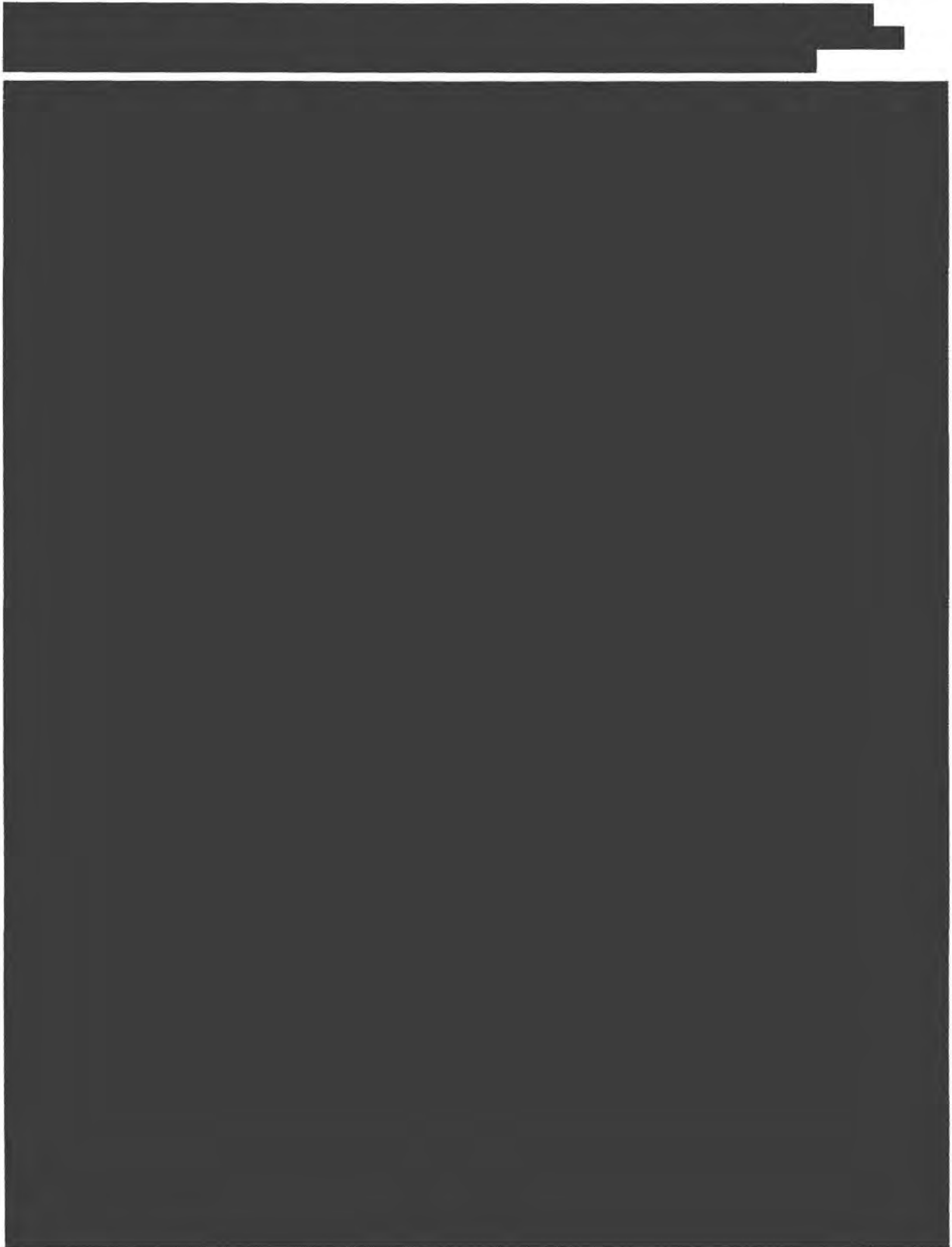
Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

State-Specific	
Identifier	Description
PAY2.61	Track utilization management activities and case tracking or links to associated documentation to include: <ul style="list-style-type: none">1. Reviews2. Investigations3. Actions Taken4. Associated Contact5. Referrals6. Recoupments

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]



State-Specific	
Identifier	Description
PAY3.37	Flag all services, premiums and capitation rates that were paid since the last time payment history was retrieved and analyzed.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
PISS2.10	Identify Members and related Providers receiving services from other states. (CMS Initiative).

CONFIDENTIAL

Optum acknowledges and will comply with this requirement [REDACTED]

[REDACTED]

State-Specific	
Identifier	Description
PISS2.12	Provide tools that allow comparisons in utilization review between institutional and community care and aberrations outside median service delivery.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

State-Specific	
Identifier	Description
PISS2.14	Ensure that PHI remains secure and accessible by individuals who are permitted to have access to that information.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
PISS2.15	Include in web portal complaint reporting function a form to complete required information (name, address, date of birth, etc.)

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
PISS2.16	Provide capability to aggregate information for diagnosis, patients, age groups, etc.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement [REDACTED]

State-Specific	
Identifier	Description
PISS3.17	The system must store and retrieve Program Integrity history data for ten years.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
PISS3.18	Centralize all information on Members, Providers and claims in one location.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

State-Specific	
Identifier	Description
PISS3.19	Provide the ability to update information real-time with standards applied to each data element.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

State-Specific	
Identifier	Description
PISS4.4	Provide an automated system that communicates the results of investigations on part of the State PI or Developmentally Delayed Services (DDS) QA Licensure department.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

State-Specific	
Identifier	Description
PISS4.5	Implement a COTS product for a profiler that can interface with all agencies, departments and divisions.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement.

[REDACTED]

State-Specific	
Identifier	Description
PISS4.6.1	Generate specific SURS reports within two State work days. Unique SURS reports are those that require technical input for design and execution and may require use of historical data or reconciliation of data sources.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

State-Specific	
Identifier	Description
PISS4.7	Provide Provider reconciliation report of claim activity by end-user-defined time period to payment to see every claim reported and voided.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

State-Specific	
Identifier	Description
PISS4.8	Include an index for an electronic document management system to access RAs by financial paid date.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement [REDACTED]

[REDACTED]

State-Specific	
Identifier	Description
PISS4.9	Provide staff with Program Integrity DSS Component expertise to support end-users and to assist with training.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

State-Specific	
Identifier	Description
PISS4.14	Provide alerts that communicate the results of investigations on part of the State Program Integrity or DDS QA Licensure Department.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
PISS4.15	Allow access to functionality in the Program Integrity DSS Component for authorized users in all agencies, departments and divisions.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

[REDACTED]

State-Specific	
Identifier	Description
CPO1.40	Produce all required Claims Operations Management reports.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
FRSS4.10	Generate ad hoc reports based upon multiple selection criteria and parameters agreed to by the Department.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
FRSS4.6.1	Create and support electronic Medicaid program statistics reporting to the Federal MSIS.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

- a. [REDACTED]
- b. [REDACTED]
- c. [REDACTED]
- d. [REDACTED]
- e. [REDACTED]

[REDACTED]

State-Specific	
Identifier	Description
FRSS4.7	Provide automated interfaces to the State accounting to produce required CMS reports (e.g., CMS 64 and CMS 21).

CONFIDENTIAL

Optum acknowledges and will comply with this requirement [REDACTED]

State-Specific	
Identifier	Description
PAY3.75	Capture all data necessary to meet the State and Federal reporting requirements.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
PAY4	Provide Accounting and Financial Reporting to include: <ol style="list-style-type: none">1. Assigned bucket listing for managing payment information (CMS-64 report).2. User-based access to data and reports.3. User-friendly reports.4. Ability to respond to queries.5. Data consistency between data files.6. A federated payment repository for the State.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

State-Specific	
Identifier	Description
PAY4.3	Provide a weekly, monthly and quarterly receivable report reflecting activity on all receivables for a given time period, including recoupments from claims payments that were used to satisfy a receivable.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

State-Specific	
Identifier	Description
PAY4.3.1	Calculate funding sources correctly and provide audit trail of the transactions.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

State-Specific	
Identifier	Description
PAY4.3.2	Produce a detailed audit trail with sufficient detail to identify the source of all accounts receivable transactions.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
PAY4.4	Include ad hoc reporting capability for the TPL program that allows the following: <ol style="list-style-type: none">1. Provide a web-based ad hoc query tool to allow a TPL authorized user to customize a report based on Core System production TPL data via real-time access and generate those reports at a level of detail and functionality approved by the Department.2. Attach labels to data elements for queries, extracts and result sets for quick reference.3. Join tables and split data elements from all areas of the Core System as defined by the Department.4. Sort and revise the result set by either revising the selection criteria or manipulating the result set.5. Allow for extracting query results and reports into formats approved by the Department including but not limited to Microsoft (MS) Excel, MS Access, MS Word, other database software and text formats.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[Redacted text block]

[Redacted text block]

[Redacted text block]

[Redacted text block]

[Redacted]	[Redacted]
[Redacted]	[Redacted]
[Redacted]	[Redacted]
[Redacted]	[Redacted]

State-Specific	
Identifier	Description
PAY4.6	Display all financial reports in a readable format, printed, or electronically transmitted as a data file to another automated system.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
PAY4.6.1	Reports must be displayed with hyperlinks to the reports available.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

State-Specific	
Identifier	Description
PAY4.7	Maintain a catalog/listing of standard financial reports that can be reviewed and retrieved by users based on authorized access (i.e., RBAC).

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
PAY4.8	Provide predefined financial reports on a schedule to be determined by the State.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
PAY4.10	Provide financial business area reports that can: <ol style="list-style-type: none">1. Be run on demand in real time or queued for off hours processing.2. Print to any printer accessible to the user's work station.3. Export to text file, State-standard spreadsheet and Adobe PDF formats.4. Allow authorized users to create queries with narrow or special selection parameters.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
PAY4.11	Retain financial report outputs for a period consistent with the Record and Data Retention Standards. No reports will be deleted or purged without Department approval.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
PAY4.17	Perform necessary corrections, rerun reports, verify accuracy and distribute or redistribute reports within two State work days of initial problem identification.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
PMSS5.10	Provide automated CMS-372 report.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
PMSS5.11	Provide automated CMS-416 (EPSDT) report.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
PMSS5.7.2	Generate the CMS-64 on a quarterly basis according to federal guidelines.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
PMSS5.9	Provide automated CMS-2082 annual Medicaid reconciliation report.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]

State-Specific	
Identifier	Description
RFSS1.40	Provide a report of all Reference Data Management activity (additions, modifications and deletions) and make it available online.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
RFSS2.12	Provide budget impact reports for all proposed changes resulting from Federal and State mandates and legislation.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

State-Specific	
Identifier	Description
RFSS2.13	Provide continuous interrelated statistics in concert with the Management and Administrative Reporting (MAR) function to show how the total health care delivery system and its individual parts are meeting program objectives.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

[REDACTED]

[REDACTED]

- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]

State-Specific	
Identifier	Description
RFSS2.14	Provide management with information to assist in overall program direction and supervision.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement [REDACTED]

State-Specific	
Identifier	Description
RFSS2.15	Upon request, assist the State with policy-related items, such as updates to the State Plan, Arkansas Administrative Rules, Arkansas Code and Provider manuals.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
RFSS2.16	The Contractor will develop and implement a physician peer review process to review the care provided to Medicaid recipients by medical practitioners for FFS claims.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
RFSS2.17	The Contractor will consult with licensed professionals with specialties in various medical fields to determine medical necessity of Members reviewed by program integrity unit (PIU). The PI unit will refer recipient medical records to the contractor for review.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
RFSS2.18	Provide adequate staff, as determined by the State, with DSS expertise on establishing report parameters and analyzing data on query report design and execution to end-end-users.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
RFSS2.19	Create monthly claim analysis report by three State work days at the close of the month and provide to State.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]

State-Specific	
Identifier	Description
RFSS2.20	Reconcile and provide a claim analysis report to the State within three State work days of the close of timely filing period for that month, or a period of time selected by the State.

CONFIDENTIAL

Optum acknowledges and will comply with this requirement. [REDACTED]



State-Specific	
Identifier	Description
FDC1.28	<p>Provide fraud detection capability toolsets to perform the following study job functions:</p> <ol style="list-style-type: none"> 1. Study Parameter Snapshot: The engine takes a 'snapshot' of the online Library and Study parameters as they exist at the time that the Job is submitted and saves them in data-mart tables. This enables the User to continue online updating of parameters without regard to the scheduling or execution status of a Job or any other user's Job. 2. Study Group Participant Identification: The toolset or engine identifies all of the Providers or Members who met the Data Rule criteria attached to the Study Group or had been included as Forced Participants. The Study verifies that the total number of participants to be included in this Study Group is less than or equal to the maximum number of participants defined for this Study Group type. 3. Behavior Pattern Totals: The toolset or engine scans all of the claims whose First Date of Service falls within the Time Period(s) defined, then counts and accumulates the values for each of the Behavior Patterns used in the Study Group. It also includes Behavior Patterns used for Activity Limits purposes only. 4. Report Item Calculations: Based on the Behavior Pattern totals accumulated in the Study Group Participants and Behavior Pattern Totals, the toolset or engine eliminates from further processing participants that did not meet the Activity Limits for this Study Group. For the remaining participants, the values of their Report Items are calculated. Reporting data, such as the Claims headers and Details associated with the Behavior Pattern Totals may be used to support drilldown capabilities within the reporting application. 5. Behavior Pattern Summary: Combining the individual participants' Behavior Pattern totals, the engine summarizes the Behavior Patterns across the Study Group, by Time Period. 6. Report Item Summary: Combining the participants' values for Report Items, the toolset engine calculates, across the Study Group, Report Item averages, the value of one Standard Deviation and the upper and lower control limits or exception limits (based either on the default Standard Deviation or any Override Limits set). 7. Study Group Summary: Using Report Item averages, Standard Deviation and exception limits from Report Item Summary, the toolset or engine

	performs Exception Processing. This process calculates the Z-score of each Report Item for each participant in each Time Period and assigns an Exception Weight if the Report Item's value exceeds the upper/lower limits.
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The FADS component of the AME DSS solution provides fraud detection capability tools that support the following studies:

- Study parameter snapshot
- Study group participant identification
- Behavior pattern summary
- Report item calculations
- Behavior pattern summary
- Report item summary
- Study group summary

In fact, the requirements outlined in this requirement directly match the existing capabilities of our solution as documented in our system documentation and training materials. The Optum FADS solution provides the capabilities exactly as specified in this requirement. Please see Attachment G2, Section 3.1.4-3.1.7 for additional details.

4 RESPONDENT'S BACKGROUND, EXPERIENCE, AND QUALIFICATIONS

The experience and qualifications of Arkansas' selected vendor are critical for success of the Arkansas Medicaid Enterprise Decision Support System (AME DSS) and services project. Optum has successfully designed, implemented and operated Medicaid DSS solutions and data driven management services for 11 state and local governments. We will deliver on the State's current requirements and provide the capacity and health care expertise to meet tomorrow's business needs.

4.1 Background (SOW 3.6.1 a-f)

4.1.1 Date Established and Ownership (SOW 3.6.1a, 1b)

Optum Government Solutions, Inc. (Optum) is a for-profit corporation, organized under the laws of the State of Delaware. Optum was established on July 18, 2001, as a spin off from its then parent company, Bull HN Information Systems Inc. The new organization was based on the desire to have a business dedicated to providing data warehouse and decision support systems to state government clients, with an emphasis on Medicaid - a business that Bull HN Information Systems Inc. had established beginning in 1994. Optum began operations effective January 1, 2002, under the Bull Services brand.

Today, Optum is a wholly owned subsidiary of OptumInsight, Inc. (formerly known as Ingenix, Inc.). Ingenix ultimate parent company is UnitedHealth Group Incorporated (United), a publicly traded Minnesota (U.S.) corporation, with shares listed on the New York Stock Exchange (NYSE: UNH).

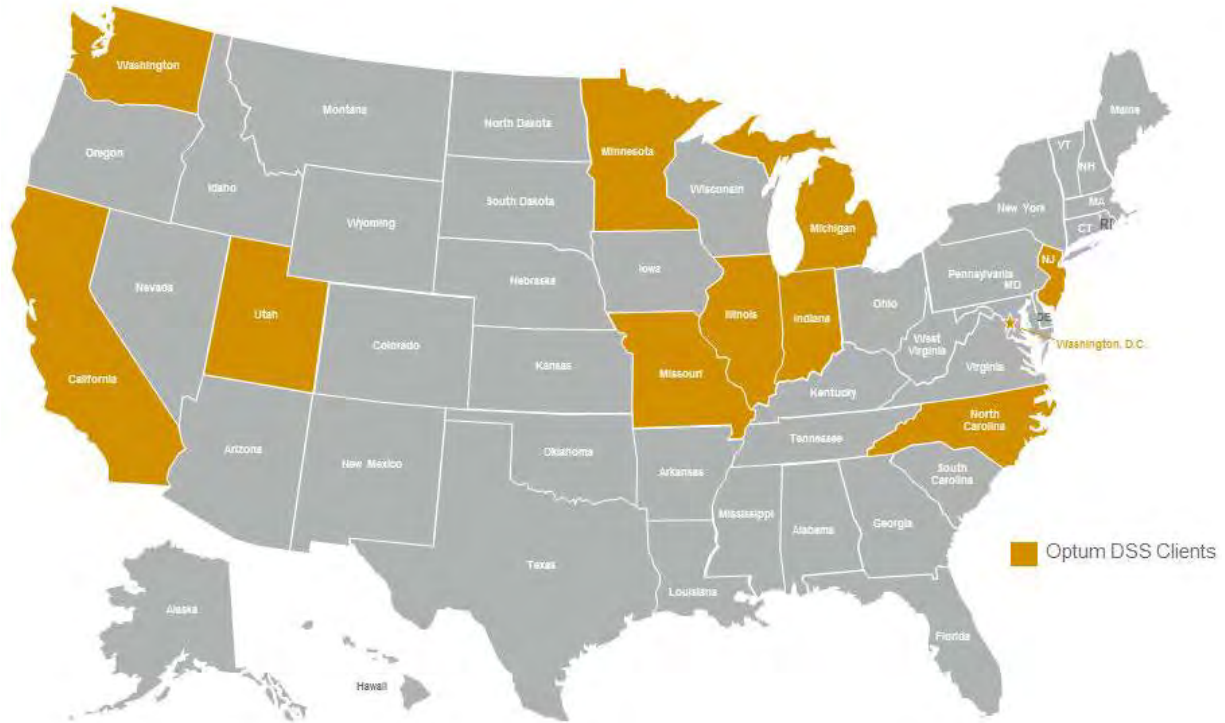
4.1.2 Total Number of Employees (SOW 3.6.1c)

Optum is a health services business dedicated to making the health system work better for everyone. Optum delivers integrated, intelligent solutions that work to modernize the health system, improve overall population health and build and enable sustainable health communities. With a combined Optum workforce of 30,000 people, we serve the entire health ecosystem, including nearly 250,000 health professionals and physician practices; 6,200 hospitals and facilities; more than 270 state and federal government agencies; more than 2,000 health plans; two of every five Fortune 500 employers; more than 400 global life sciences companies; and one in every five U.S. consumers.

4.1.3 Total Number of Full Time Equivalent (FTE) Employees Engaged in Similar Contracts (SOW 3.6.1d)

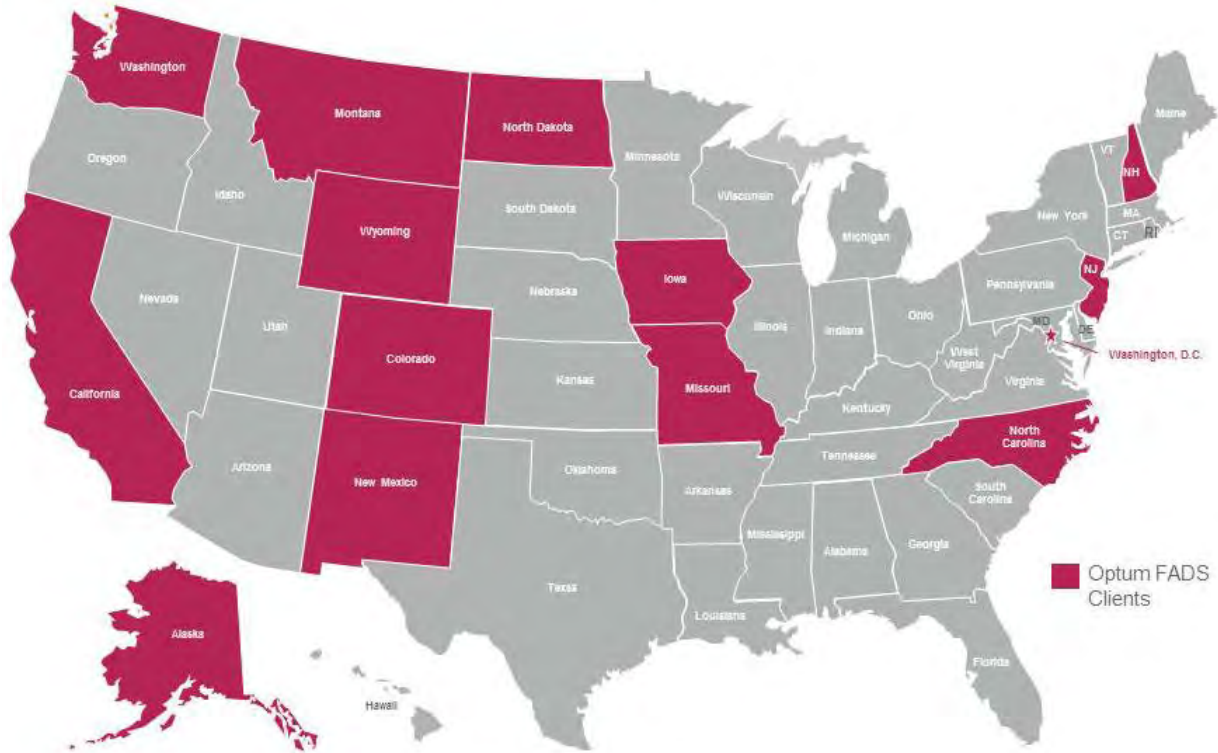
Optum has installed 11 DSSs for states and the District of Columbia as depicted in Figure 4-1. Current staff assigned to these projects total approximately 130 FTEs working on implementation or operations. Of these, approximately 100 FTEs work on Medicaid DSSs. The remaining FTEs work on human services or other state DSS initiatives.

Figure 4-1: Optum's Decision Support System (DSS) Installations. We have deployed DSS solutions in 11 states and the District of Columbia.



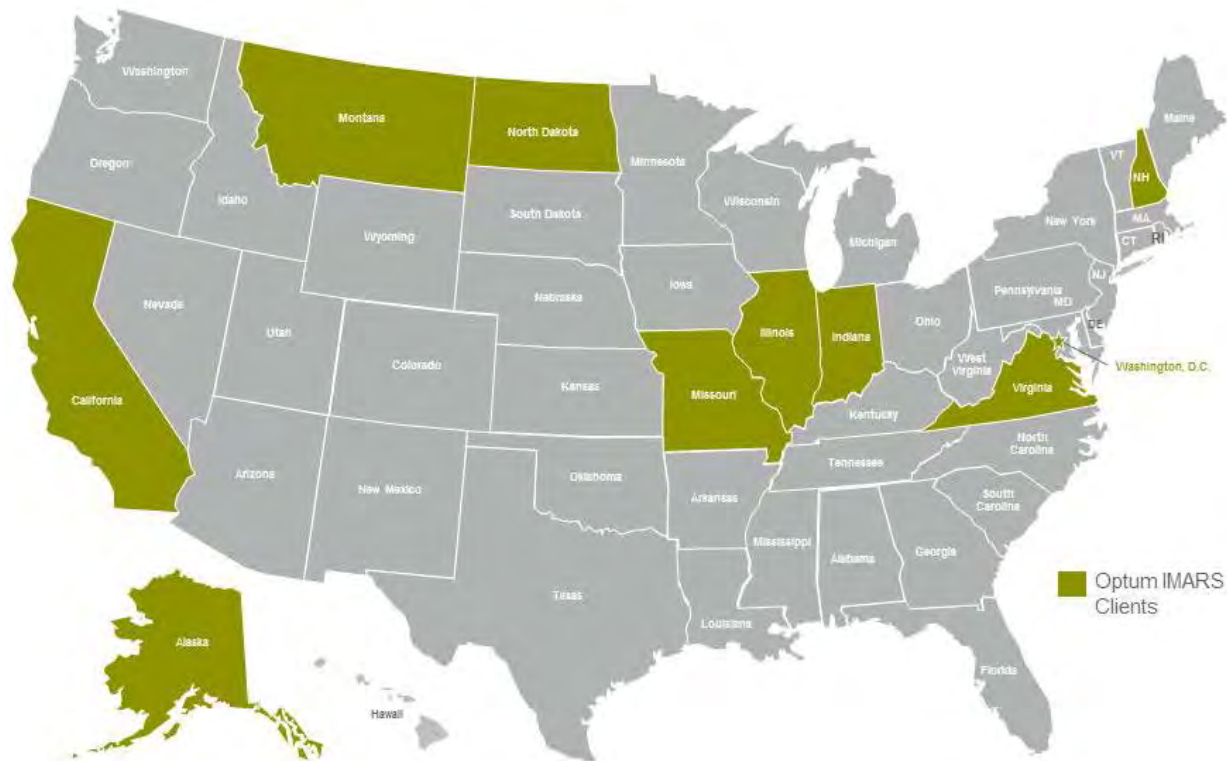
Optum has 14 Fraud and Abuse Detection System (FADS) projects as depicted in Figure 4-2. Approximately 22 FTEs are working on implementation or operations on these projects.

Figure 4-2: Optum's FADS Projects. We have or are deploying our FADS solution in 13 states and the District of Columbia.



Optum has 10 Management and Administrative Reporting System (IMARS) projects as depicted in Figure 4-3. Approximately 30 FTEs work on these projects.

Figure 4-3: Optum's IMARS Installations. We have deployed our IMARS in nine states and the District of Columbia.



We bring the experience and competencies of these DSS, FADS and IMARS projects to our AME DSS project endeavors.

4.1.4 Total Number of Commercial Product Offerings (SOW 3.6.1e)

Optum's approach for designing DSS solutions makes use of commercial product offerings that are Medicaid Information Technology Architecture (MITA)-aligned and Service Oriented Architecture (SOA) compliant in DSS capabilities. We choose products that will grow and evolve the AME DSS solution over time. Our open architecture, COTS-based DSS solutions typically include the following tools:

- Cognos – reporting and ad-hoc query tool
- Oracle – relational database management system
- Informatica – extraction, transformation and load tool
- MapInfo – geographical mapping tool
- PC SAS – statistical analysis tool
- DevSpec – requirements tracking management
- DevTrack – defect tracking tool

- DevTest – testing tool
- Perforce – software configuration management
- Footprints – service desk tracking tool
- Symmetry Software
 - Episode Treatment Group® (ETG®) – an episode grouper for medical and pharmacy claims that provides a condition classification methodology that combines related services into medically relevant and distinct units describing complete and severity adjusted episodes of care and associated costs
 - Episode Risk Groups® (ERGs®) – software that predicts current and future health care usage for individuals and groups by creating individual risk measures that incorporate episodes-of-care methodology, medical and pharmacy claims information and demographic variables
 - EBM Connect® – software that compares medical and pharmacy claim, lab result and enrollment data with evidence-based best practices for clinical conditions and preventive measures

4.1.5 Number of Production Environment Installations (installed base of clients to date) (SOW 3.6.1f)

Optum is a leader in providing Medicaid and human services decision support systems and data driven management solutions. Optum has an installed base of 11 DSS clients to date. We also have stand-alone IMARS and FADS. Taken together, our program integrity, clinical analytics and program management services and our award winning data warehouse solutions help state decision-makers manage programs and services for nearly 15 million people, or one-quarter of the total U.S. Medicaid population.

Our products and services assist with managing nearly \$115 billion of annualized Medicaid spending, more than one-third of all Medicaid dollars spent.

Figure 4-4 shows Optum’s public sector clients for all solution and service offerings. Our state clients have been recognized by third parties including the National Governors Association, the National Association of State CIOs (NASCIO), The Data Warehousing Institute (TDWI), *Governing* magazine and *Computerworld* magazine for cost savings and outcome improvements,

Figure 4-4: State Government Clients for All Optum Offerings. The Medicaid programs supported by Optum, located in 35 states and the District of Columbia, demonstrate our breadth and depth of health care knowledge in the public sector.

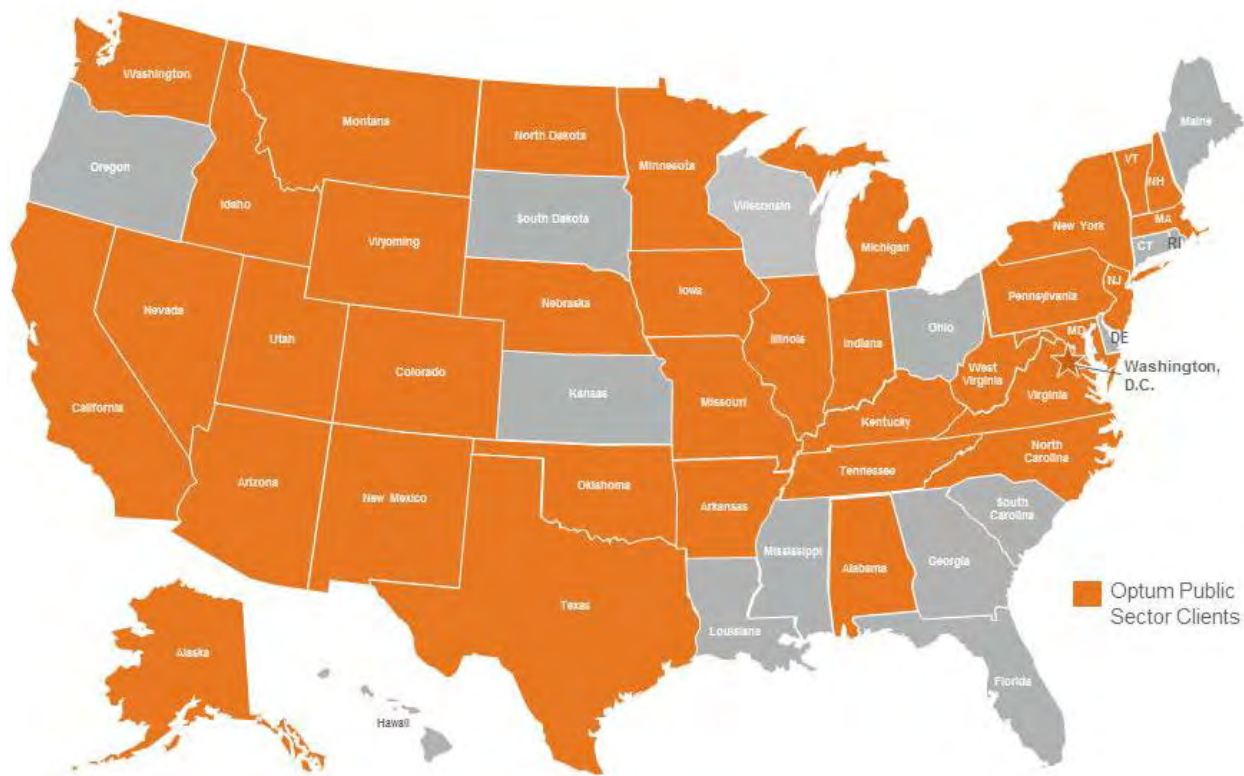


Figure 4-5 summarizes financial results achieved by our clients when using Optum DSS solutions.

Figure 4-5: Summary of Financial Results for Featured Case Studies. Government’s use of Optum DSS solutions enables better outcomes and astute financial control.

Summary of Financial Results for Featured DSS Case Studies	
Program Integrity Activity	Financial Benefit
Identifying fraud, abuse, errors and other inappropriate payments in Iowa	\$20 million annually (projected)
Identifying Medicaid fraud, waste and abuse in Washington	\$60 million
Recovering Medicaid funds due to error or fraud	\$41 million
Illinois Medicaid audit recoveries	\$67 million
Preventing and eliminating welfare fraud in Minnesota	\$21 million
Overbilling Medicaid for improper substance abuse treatments	\$15.5 million
Foiling “doc shopping” in Illinois—Medicaid data analysis and recipient restriction program	\$10 million–\$15 million annually
Uncovering fraud in child development and daycare program	\$17 million
Recoveries and prevention—DRG upcoding	\$15 million
Overutilization of prenatal care assistance program	\$6 million

Summary of Financial Results for Featured DSS Case Studies		
Program Integrity Activity		Financial Benefit
Uncovering Medicaid transportation fraud (1)		\$5 million
Uncovering Medicaid transportation fraud (2)		Tens of millions
Uncovering fraud in food and cash assistance programs		\$1.6 million
Subtotal		Nearly \$300 million
Better Outcomes Activity	Program Benefit	Financial Benefit
Illinois SeniorCare Program	Pharmaceutical benefit to seniors	\$924 million
Illinois hospital reassessment	More federal funding for Illinois hospitals	\$430 million
Michigan health care integration	Analytics, recipient care across programs	\$200 million
Preferred drug in Illinois	Pricing, utilization analyses	\$153 million
Subtotal		\$1.7 billion
Total for Featured Stories		\$1.99 billion

In total, Optum has helped Medicaid and health and human services agencies achieve hundreds of millions of dollars in financial benefits using our DSS solutions and capabilities.

4.2 Prime and Subcontractor Experience (SOW 3.6.2)

4.2.1 Organization Chart Displaying the Overall Business Structure, Including How and Where the Proposed Project Fits into the Respondent's Organizational Structure (SOW 3.6.2 a)

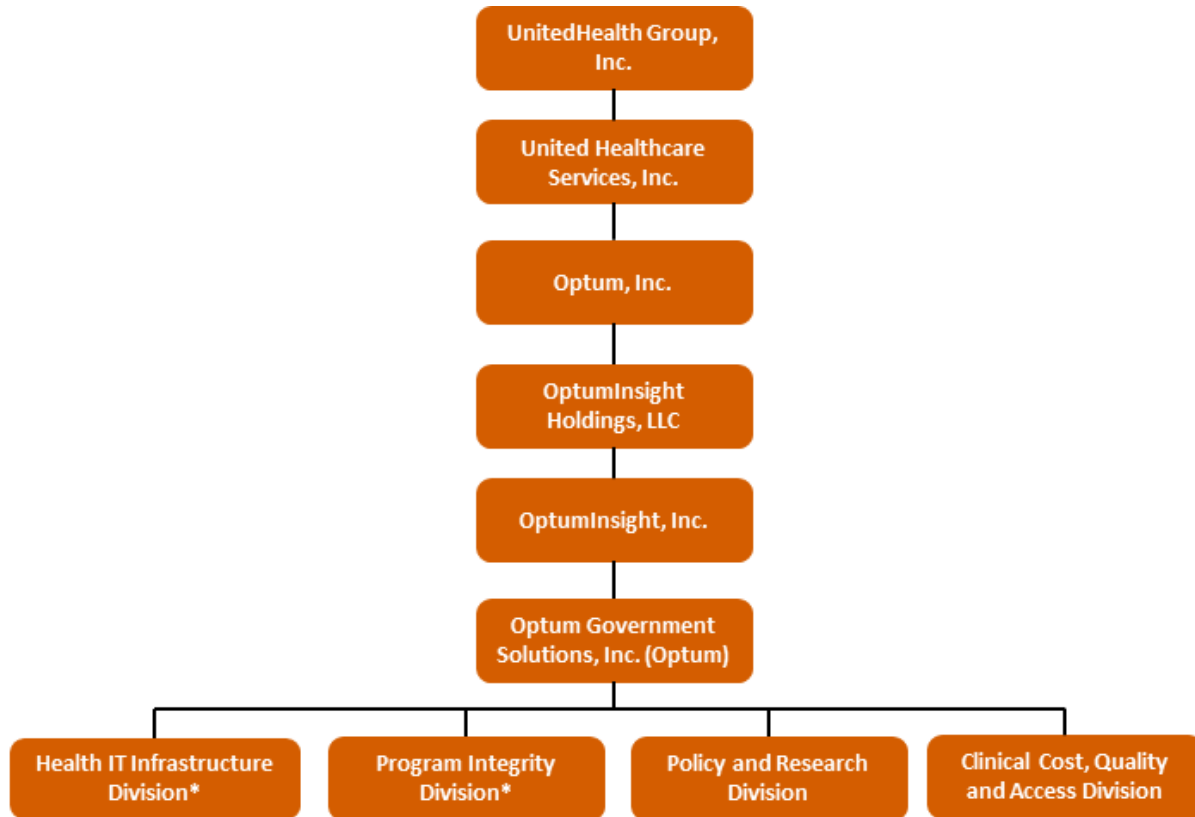
4.2.1.1 Prime: Optum

Optum is a wholly owned subsidiary of OptumInsight, Inc. and part of the UnitedHealth Group family of companies (see Figure 4-6). Our organization is comprised of four divisions devoted entirely to providing health care solutions to the public sector. Two of these divisions, Health Information Technology (IT) Infrastructure and Program Integrity, are the business units that will provide the services requested in the AME DSS RFP. They are identified with asterisks in Figure 4-6 Ownership Structure. The Health IT Infrastructure Division will be responsible for the products, services and activities associated with the DSS, including management and administrative reporting. The Program Integrity Division will be responsible for program integrity functions and services.

During the operations phase of the project, the State may also benefit from the subject matter competencies and DSS capabilities of our Policy and Research and Clinical Cost, Quality and Access Divisions. Optum personnel have the expertise and experience to support Arkansas' strategic goals related to health care transformation. Our competencies encompass the application of strategic information and knowledge; public and private sector experience with providers, health plans and health care organizations; alignment of financial and payment policy initiatives, health homes and other care coordination models and design; wellness and prevention

services policy; and planning and quality improvement. These two divisions could provide analytic and consulting assistance as potential cost avoidance and cost savings initiatives are identified, as environmental impacts are assessed and as the operating environment of continuous improvement and MITA maturity advancement prevails.



Figure 4-6: Ownership Structure. Optum Government Solutions, Inc. (Optum) is part of the UnitedHealth Group family of companies.



4.2.1.2 Subcontractors: Medical Audit & Review Solutions and National Audit

As part of our strategy to fully meet the goals of the AME DSS project, we have partnered with Medical Audit & Review Solutions, Inc. (MARS) and Hospital Audit Locus, Inc., doing business as National Audit and part of SCIO Health Analytics (National Audit) to bring medical review necessity audit and pharmacy audit specific knowledge and operations competencies to the Optum Team. Figure 4-7 shows the responsibilities assigned to MARS and National Audit for the AME DSS project.

Figure 4-7: The Optum Team. Optum has joined forces with MARS and National Audit to create a team that will best fit the State’s needs and meet their objectives.

Subcontractor	Role/Responsibility
	<p>Medical necessity and peer review project components that require physician or nurse experience</p>
	<p>Pharmacy audit services and providing full time pharmacist and experienced pharmacy audit staff supporting those efforts</p>

MARS and National Audit each have extensive experience working and interfacing with health care providers. They are part of the Optum Team because of their success in working with health care providers in the performance of audits, reviews and related activities. Being reviewed or audited presents business challenges for the health care community. Health care providers often view entities conducting audits and reviews with apprehension and trepidation. We value how both MARS and National Audit take steps to maintain the integrity of their work while establishing effective relationships with providers.

For example, the audit programs developed by National Audit are designed to be fair and unbiased to both the health claim payer and the provider of service. This is accomplished by the identification of undercharges as well as overcharges and by obtaining provider agreement with audit results. This helps eliminate the negative connotation often associated with any type of auditing function.

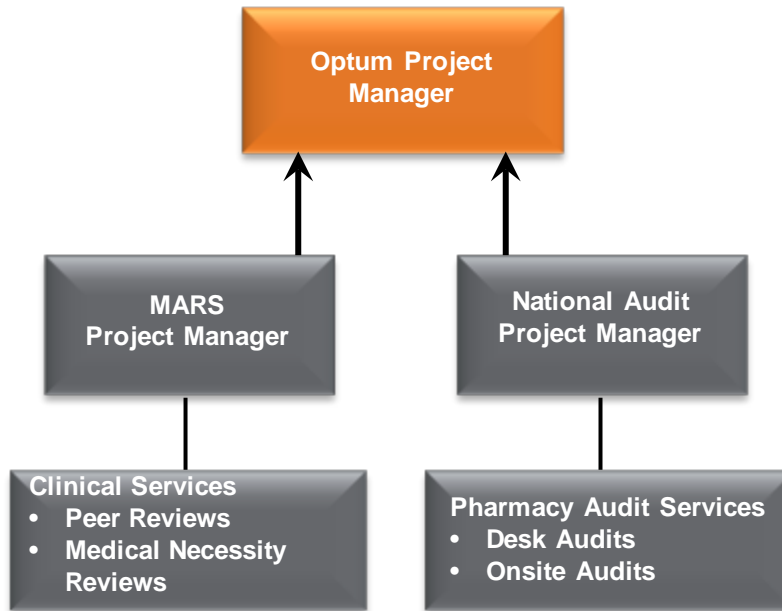
Similarly, MARS has extensive experience working as providers as well as reviewers of providers. Sensitivity to the challenges faced by providers is foundational to MARS’ corporate commitment to accuracy in all medical necessity audit activities. MARS provides a superior audit product through optimized analytic algorithms and evidence-based, physician-led review decisions. The MARS work approach minimizes provider abrasion and dissatisfaction by targeting those claims at highest risk for improper payment; by providing clear, unbiased, evidence-based rationales for medical necessity determinations; and by defending those medical necessity decisions through the hearing and appeals process.

4.2.1.2.1 Subcontractor Agreements

Optum has executed a formal agreement with each subcontractor that defines the legal relationship; specifies all agreement terms and conditions, including a detailed SOW, change control management, dispute resolution procedures, applicable Health Insurance Portability and Accountability Act (HIPAA) Business Associate Agreements; and documents the rights and obligations of Optum and the subcontractor relative to performance supporting the AME DSS project.

The subcontractor’s project manager name and contact information will be included in each subcontract. The subcontractor project manager will be a direct report to the Optum project manager, as illustrated in Figure 4-8.

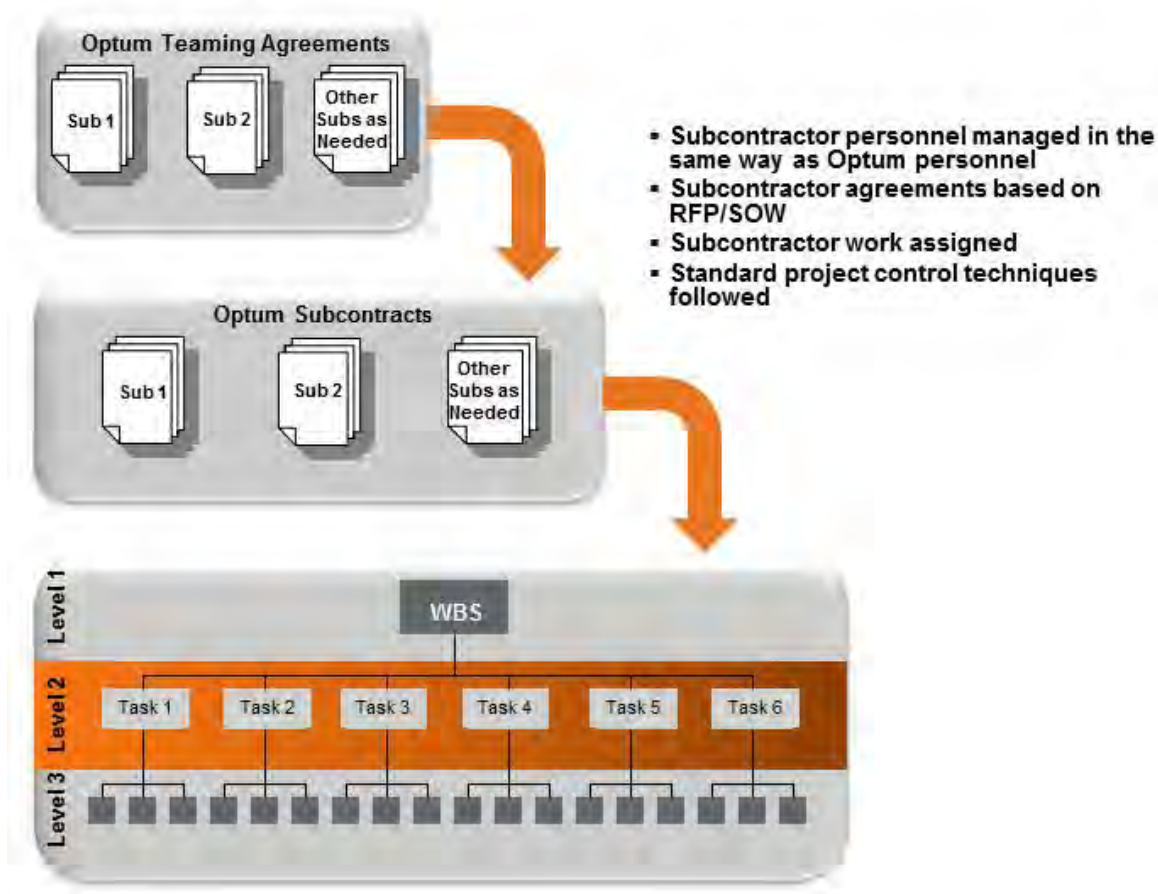
Figure 4-8: Subcontractor Reporting Relationships. The Optum project manager has overall project responsibility.



Because Optum is the prime contractor and has overall responsibility for the project, we recommend that State contact with subcontractors be coordinated through us. This will support our project management team remaining fully informed of all project interactions and channel all project direction to subcontractors through Optum. Because subcontractor agreements are between Optum and the subcontractor, any subcontractors who take direction from a source other than Optum could be placed at risk with regard to their performance under the contract. Without knowledge of the direction provided, Optum cannot take action that may be crucial to the success of the project.

When setting up our subcontracting agreements, we incorporate necessary flow-down provisions. Figure 4-9 summarizes our approach to subcontractor management.

Figure 4-9: Subcontractor Agreements. Optum subcontracting agreements provide clear definition of work and lines of authority and also incorporate flow-down provisions to make certain of compliance with all State requirements.



4.2.2 Evidence of the Qualifications and Credentials in Terms of Proven Successful Experience through Similar Projects of like Size and Scope (SOW 3.6.2b)

4.2.2.1 Optum Experience

Optum brings the experience and competencies of 11 DSS projects, 14 FADS projects and 10 IMARS projects to our AME DSS project endeavors.

We are pleased to provide the following examples of recent, successfully completed Optum projects that are similar in scope to that being asked for by the State in its AME DSS procurement. We bring these experiences and aptitude to our efforts in designing the AME DSS solution. Figure 4-10 identifies three of our clients and provides a high level overview of successfully completed, state-specific project experience that is similar in size and scope to the AME DSS project.

Figure 4-10: Recent Similar Projects Successfully Completed. Optum brings an accumulated wealth of business intelligence services experience to the AME DSS project.

State of Washington			
Project	Ad Hoc Data Warehouse & Program Integrity	Current Period of Performance	July 2000 – Present
Staff Months	169	Current Contract Amount	\$8.6M
Work Performed	<ul style="list-style-type: none"> • Ad Hoc Date Warehouse Design, Development, Installation and Operations • Fraud and Abuse Detection System Installation and Operations • Program Integrity Services including SURS and DSS 		
Customer Reference	Name: Cathie Ott, Deputy Director Phone: 360.725.2116 Email: cathie.ott@hca.wa.gov		
Responsibility and Experience	<p>Ad Hoc Data Warehouse. In 2010, Optum implemented a Medicaid DSS solution – referred to as the Ad Hoc Data Warehouse – as a subcontractor to CNSI, to meet State of Washington’s Medicaid DSS requirements. As part of this sub-contract to the Medicaid management information systems (MMIS) implementation, Optum also provided the SURS. The Washington solution is provided as a hosted solution much like what we are proposing for the AME DSS project. The Optum solution was implemented within the proposed one year time frame with the new MMIS and its DSS component, inclusive of a SUR subsystem, received full federal certification in 2011.</p> <p>Program Integrity. Optum provides a comprehensive program integrity solution to the Health Care Authority (HCA), the State of Washington Medicaid program, including a full program of overpayment detection analytics and recovery services and sophisticated models to support HCA's internal audit staff, including analytics designed to support DRG, Pharmacy and Medical audit teams. As the program integrity contractor, we build and maintain databases and run post-payment analytics which are provided to the PI program integrity operation for recovery. Our analytics support identification not only of Medicaid funded services but also of services that are funded by state-only dollars. We support the recovery operations with our Provider Relations team. We also perform advanced analytics to evaluate spend in the FFS program and services provided by MCOs. We provide ad hoc query, case management, audit management, recovery management and reporting tools to state staff to enhance their ability to detect and recover improperly paid claims. We have had a continuing ten year relationship supporting Washington in this role.</p> <p>Optum staff work with State personnel on DSS analytics and DSS business services for both projects. Both contracts are currently in the operations and maintenance period.</p>		
State of Michigan			
Project	Enterprise Data Warehouse	Current Period of Performance	November 2010 – Present
Staff Months	1,620	Current Contract Amount	\$35M
Work Performed	<ul style="list-style-type: none"> • Enterprise Data Warehouse Design, Development, Installation and Operations 		

	<ul style="list-style-type: none"> Decision Support Services 		
Customer Reference	Name: Cynthia Green-Edwards, Director Phone: 517.241.9998 Email: edwardsc@michigan.gov		
Responsibility and Experience	<p>In 1994, Optum worked with the Department of Social Services to build the first Medicaid-centric data warehouse in the country – beginning with about 50 users. Today, we continue to operate a full-fledged business intelligence solution encompassing multiple departments including the Department of Human Services, Department of Community Health, Department of Treasury and State Court Administrative Office. The resulting capabilities are used by more than 10,000 individuals across the State. Optum currently provides about 40 staff to support the State.</p> <p>With Optum’s help, Michigan has translated data analysis into huge cost savings and improved outcomes in a multitude of programs and service areas. Michigan has received national recognition from numerous third parties (e.g., National Governors Association, National Association of State Chief Information Officers (CIOs), The Data Warehousing Institute and numerous business and trade publications). Quantified examples of value gained are highlighted in Figure 5-6.</p> <p>In 2010, Optum was selected to refresh the hardware and software. This project was executed on budget and on schedule with no negative impacts encountered by end users. An important component of Michigan’s MMIS solution, the Optum solution provides functionality supporting federal reporting; mental health and waiver program enrollment and tracking; integration of pharmacy data; and program, policy and financial analysis. Michigan received full CMS certification for its new MMIS – including the DSS component – in August, 2011.</p>		
State of Illinois			
Project	Enterprise Data Warehouse	Current Period of Performance	January 2012 – Present
Staff Months	420	Current Contract Amount	\$22M
Work Performed	<ul style="list-style-type: none"> Enterprise Data Warehouse Design, Development, Installation and Operations Decision Support Services IMARS Installation and Operations 		
Customer Reference	Name: Tia Goss Sawhney, DrPH, FSA Phone: 312.814.6820 Email: tia.sawhney@illinois.gov		
Responsibility and Experience	<p>Since 1999, Optum has designed, developed, implemented, operated and continues to enhance the State of Illinois Department of Healthcare and Family Services business intelligence solution. Serving as the cornerstone of Illinois’ health and human services enterprise “single source of truth”, this data repository contains more than 15 years of enrollment and claims data for Illinois’ Medicaid and CHIP recipients (currently 2.8M recipients), data related to the State’s child support program and health and human services data from other state agencies. Its capabilities include advanced analytics, data mining, ad hoc reporting and decision support services.</p> <p>After one of the fastest information technology deployments in state government history (nine months from contract signing to full system</p>		

	<p>acceptance), the Department has relied on the Optum DSS environment to tackle fraud and abuse, inform budgeting initiatives, provide long-term analysis, forecast health care service utilization, manage contracts, establish performance measures and improve program outcomes. Quantified examples of value gained are included in Figure 5-6.</p> <p>Optum has implemented and continues to support a variety of DSS tools in response to environment impacts and changing Department business needs with a recent example being successful execution of an IMARS enhancement. The contract has been rebid and renewed twice. We have provided DSS services including health care data analysis and for the State throughout our consecutive contract terms.</p>
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4.2.2.2 Subcontractor Experience

4.2.2.2.1 MARS

Averaging more than two-decades of clinical experience, the MARS physician-leadership team is among the most well versed in the nation regarding the conduct, application of empirical-based methodology and defense of audits involving medical necessity. Their approach is founded on a history of direct involvement in the management and justification of several thousand Medicare and Medicaid hearings and appeals.

MARS executive leadership has successfully managed large, multi-faceted medical necessity audit and review projects. In recent years, this leadership team has worked on national projects involving hundreds of providers and tens of thousands of cases. Their physicians are among the most experienced in the nation at defending medical necessity determinations through the hearing and appeals process. Dr. Michael Taylor, President and CEO and Dr. Mark Miani, Vice President and Chief Medical Officer, have been involved with more than 2,000 Medicare and Medicaid hearings through their experience as physician advisors and managed Medicare / Medicaid medical directors. Drs. Taylor and Miani have represented the successful party in over 90 percent of the hearings in which they have participated. Figure 4-11 identifies MARS clients and provides a high level overview of recent medical necessity project experience.

Figure 4-11: Recent Similar Projects Successfully Completed. MARS brings its extensive experience working with providers and balanced approach to medical necessity auditing to the AME DSS project.

Iowa Department of Human Services			
Project	Medicaid Recovery Audit Contractor (RAC) for Medical Necessity	Current Period of Performance	June, 2012 – Present
Staff Months	48	Current Contract Amount	Contingency Arrangement
Work Performed	<ul style="list-style-type: none"> • Claims Analysis • Chart Reviews • Provider Communications • Appeals Support 		
Customer Reference	Name: Rocco Russo, Jr., CPC Phone: 515.256.4632 Email: russor@dhs.state.ia.us		
Responsibility	Optum subcontracts the medical necessity case selection and physician reviews to		

and Experience	<p>MARS for the Iowa Medicaid program integrity project. Work activities include claims analysis to select cases for audit, physician review of charts obtained from providers, communication with providers about audit results and support of clinical appeals.</p> <p>MARS algorithms have led to a better than 75% accuracy rate for identifying medical necessity issues (confirmed with physician chart reviews) compared to the approximately 33% accuracy rate achieved by the Medicare RACs. This Medicaid client serves 386,000 participants and spends roughly \$3.2 billion per year. MARS is currently focusing its audit on inpatient claims and is on track to recover a greater than projected \$4.0M in the implementation year of the audit program.</p>		
Independence Blue Cross (IBC)			
Project	Utilization Management Improvement	Current Period of Performance	August, 2012 – Present
Staff Months	60	Current Contract Amount	Contingency Arrangement
Work Performed	<ul style="list-style-type: none"> • Data Analysis • Provider Profiling • Chart Reviews 		
Customer Reference	<p>Name: Francine Pramana Phone: 215.241.9324 Email: Francine.Pramana@ibx.com</p>		
Responsibility and Experience	<p>MARS analyzes claims and utilization management data to profile providers and clinical areas to determine where improvements can be made. MARS has also selected cases for chart reviews and is performing the chart reviews. MARS' is then helping the plan implement contracting and utilization management changes that will lower error rates in the future.</p> <p>MARS is helping IBC plan improve its concurrent medical necessity review process with claims analysis, provider profiling and physician case reviews. MARS is also just starting implementation of an audit and recovery program for the plan. This plan serves 3.1M members and has revenue of over \$9B per year. MARS work will result in savings or recoveries of \$20M to \$30M per year for the plan.</p>		
Mercy Care Advantage HMO SNP			
Project	Managed Medicaid Recovery Audit Contractor for Medical Necessity	Current Period of Performance	October, 2012 - Present
Staff Months	36	Current Contract Amount	Contingency Arrangement
Work Performed	<ul style="list-style-type: none"> • Claims Analysis • Chart Reviews • Provider Communications • Appeals Support 		
Customer Reference	<p>Name: Charlton Wilson, M.D. Phone: 602.263.3000 Email: wilsonc9@aetna.com</p>		
Responsibility and Experience	<p>MARS is the recovery auditor for dual-eligible members enrolled in a Medicare Advantage SNP that serves about 26,000 members. Work activities include claims analysis to select cases for audit, physician review of charts obtained from providers, communication with providers about audit results and support of clinical appeals.</p>		

MARS is in the process of collecting the first \$3.5M in recoveries for this plan.
--

4.2.2.2.2 National Audit

National Audit’s brings an experienced network of more than 100 retail pharmacy auditors that powers Optum’s ability to conduct on-site audits for clients across the United States. Typically their pharmacy claim auditors are registered pharmacists and certified pharmacy technicians with an average of 15 years’ experience.

Their staff includes a Chief Pharmacy Officer who is a Pharm.D and an Accredited Healthcare Fraud Investigator (AHFI). AHFI is one of the highest designations for credentialing members of the National Health Care Anti-Fraud Association. Additional subject matter expertise comes from former pharmacist state inspectors; former pharmacist state wholesaler inspectors; a pharmacist auditor that is also a health care attorney; pharmacists and technicians with PBM plan experience; and various positions held in the different types of pharmacies.

National Audit has been at the forefront of pharmacy fraud investigation having conducted approximately 250 of these investigations in the last four years. With a pharmacist on point, these audits typically last two to three days and are quite extensive and dynamic with constant communication being maintained with their client during these investigations. Experienced in working with law enforcement, Special Task Forces, OIG, DEA and state Medicaid fraud Control Units, National Audit’s investigations have resulted in a number of recent indictments. Figure 4-12 identifies National Audit clients and provides a high level overview of recent audit project success.

Figure 4-12: Recent Similar Projects Successfully Completed. Having conducted hundreds of pharmacy fraud investigations, National Audit will bring practical knowledge and operational success to the AME DSS project.

Texas Children’s Health Plan, Inc.			
Project	Auditing Services	Current Period of Performance	2009 - Present
Staff Months	24	Current Contract Amount	\$750,000
Work Performed	Medical Claims Audit Services		
Customer Reference	Name: Sharon McWhorter, CPA, CPC Phone: 832.828.1022 Email: scmcwhor@texaschildrens.org		
Responsibility and Experience	National Audit is responsible for overpayment recoveries for Medicaid hospital facility claims including claim selection, scheduling, auditing by comparing the medical record to the itemized bill on a claim by claim basis to ensure the charges billed or coding is supported by the medical record, obtaining provider agreement to audit findings and client reporting.		
Humana			
Project	Pharmacy Audit Services	Current Period of Performance	2008 - Present
Staff Months	36	Current Contract Amount	\$1.5M

Work Performed	Fraud Investigation Services		
Customer Reference	Name: Paula Stankevitz, CPC; AHFI Phone: 920.343.1113 Email: pstankevitz@humana.com		
Responsibility and Experience	Having created the investigative process in collaboration with client in 2008 that is still in effect today, National Audit provides fraud investigation services in the Medicare Part D/Medicaid/Commercial Pharmacy area on behalf of the health plan. Investigations are performed by a licensed pharmacist and include drug wholesaler invoice reconciliation, pedigree review, pharmacy employee interviews, prescription review and physical observation review of pharmacies. Results/findings are provided to the health plan on a daily basis with documentation inclusive of photographs, scanned prescriptions and drug purchase counts/reconciliation materials. Reports are prepared for the health plan's use for internal purposes as well as with law enforcement, OIG and MFCU's. Additional services include provision of testimony and expert witnesses as well as coordination efforts with appropriate entities.		
FirstCare			
Project	Auditing Services	Current Period of Performance	2009 - Present
Staff Months	12	Current Contract Amount	\$500,000
Work Performed	Medical Claims Audit Services		
Customer Reference	Name: Marci Barnhart Phone: 806.648.5266 Email: mbarnhart@firstcare.com		
Responsibility and Experience	National Audit is responsible for overpayment recoveries for Medicaid hospital facility claims including claim selection, scheduling, auditing by comparing the medical record to the itemized bill on a claim by claim basis to ensure the charges billed or coding is supported by the medical record, obtaining provider agreement to audit findings and client reporting.		

4.2.3 Specific Experience with MITA Concepts, Such as MITA Process Maturity Model (SOW 3.6.2c)

4.2.3.1 Optum

Our approach for designing and implementing a DSS solution and operating a data driven management environment advances our customer's administrative use of data in support of CMS' MITA process maturity model and enables the key administrative goals of:

- Leveraging technology to enhance performance and decision-making
- Improving access to information necessary for operations management
- Enhancing the ability to analyze the effectiveness of potential and existing benefits and policies
- Coordinating across health care and human services programs to improve outcomes for recipients
- Providing performance measurement for accountability and planning

The Optum AME DSS solution is an iterative and dynamic environment that envisions adding data sets and advancing MITA maturity over time. Given the federal view that business process maturity is dynamic and will not be homogeneously distributed throughout the organization or Medicaid Management Information Systems (MMIS) and sub-systems, the State's Self-Assessment (SS-A) process needs to be dynamic and ongoing. Optum has worked with clients performing and participating in the MITA SS-A. Clearly, implementation of the new AME DSS will be a significant change to the Arkansas environment subject to the SS-A. Therefore, following implementation, Optum will work with the State's staff and contractors to update the assessment. We understand, however, that these assessment efforts are not "one and done" tasks. We therefore look forward to participating in regular reviews of Arkansas' SS-A to capture opportunities for advancing Medicaid business process maturity across the State's operations at a pace and along timelines that best address local goals.

We note MITA advancement is activated, in part, when "...agencies improve adaptability through implementation of shared and extensible business services, adoption of national standards, increased collaboration among intra-state agencies and use of state/regional information exchange." The Optum AME DSS solution enables this improvement in adaptability and, by its flexible and extensible design, best positions the State to fulfill its vision and goals for Arkansas' future.

Please see Proposal Attachment G2, Section 2.5 Technical Coordination for additional specifics for how Optum's experience with MITA Concepts and the MITA Process Maturity Model are incorporated into our AME DSS approach.

4.2.3.2 Subcontractors

MARS and National Audit are not MMIS or DSS contractors.

4.2.4 Experience in Successfully Operating a DSS Within a State Medicaid Program in the Last Three Years (SOW Section 3.6.2.d)

4.2.4.1 Optum

With the exception of Indiana, which is still under development, all Optum DSS solutions referenced in Figure 4-1 have been in operation in the last three years. Many of our DSS installations have been successfully operating within a State Medicaid Program for much more than three years. For example, as noted in the DSS project descriptions provided in Figure 4-10, Optum built the first Medicaid-centric data warehouse in the country for the State of Michigan.

Optum has been serving state governments since 1994 with our full breadth of DSS solutions, competencies and capabilities. Optum has installed DSSs, provided program integrity services and delivered management and administrative reporting functionality to State Medicaid Programs across the country. This section includes additional details on those experiences and how Optum accomplishments in operating a DSS within a State Medicaid Program can be of value to the State in achieving DSS success.

The experience and qualifications of bidders are among the most important criteria that the State can specify and evaluate to promote the success of its AME DSS and services project. Proper design and implementation by an experienced contractor reduces project risk while speeding

delivery and return-on-investment. Optum has the industry knowledge and successful DSS implementation and operations experience the State needs in its AME DSS contractor.

Contractor capacity and breadth of subject matter expertise is of critical importance in helping State Medicaid Programs meet current and future data driven management needs. The following examples highlight our services and expertise.

4.2.4.1.1 Experience Supporting Successful MMIS Projects and Attaining CMS Certification

Parallel to its AME DSS and Services procurement, Arkansas is also heading into the AME Core System and Services and the AME Pharmacy Systems and Services design, development and implementation projects. Optum has experience and success in working with MMIS contractors.

In the past three years, Optum DSS solutions have been an essential part of successful new MMIS initiatives in States of Michigan and Washington as well as the District of Columbia. These systems were all transitions from prior MMIS systems and ultimately were certified by CMS.

In Michigan, our DSS solution was essential to managing the MMIS transition from a home grown product to the CNSI solution. The DSS was used as a key component of MMIS acceptance testing to test data validity and to validate payments and services. Washington's MMIS was a new system transitioned from Xerox to CNSI. In addition to these, Optum has experience with the California transition from HP to Xerox as we are a subcontractor under the Xerox contract providing DSS components. We also partner with Xerox in providing DSS capabilities to the District of Columbia.

Optum has experience providing our DSS solution to many different MMIS vendors. We have a track record of success working with many different fiscal agents and success integrating data from many MMIS claims processing systems (e.g., Molina, ACS, HP/EDS, CNSI, CSC, etc.). We can and will work cooperatively with that State's future Core System and Pharmacy System vendors. We look forward to be a contributing partner in both the establishment of the State's new Medicaid Enterprise System and the attainment of CMS certification.

4.2.4.1.2 Experience Interfacing with Health Care Providers

Optum has more than three decades of experience working with providers in support of their health care information needs. Optum has led the health care industry with population health management, analytics, clinical and financial services and innovative technology. We realize each health system and provider group has a unique set of challenges and we help them adapt and thrive in the continuously evolving health care landscape of increased pressure and decreased revenue. We provide physicians and group practices with services supporting cost, clinical and quality management, electronic medical record and practice management, electronic data interchange, health information exchange and strategic planning and financial management.

Optum solutions for hospitals and health care facilities encompass end-to-end products, services and consulting resources that support their efforts to improve client satisfaction, clinical outcomes, financial integrity and operational effectiveness. We help health care systems improve performance across their entire care community, including Integrated Delivery Networks, hospitals, academic medical centers and contracted physicians.

In addition to working directly with providers, Optum brings experience interfacing with providers on behalf and with our state government DSS clients. In Michigan we had a long history of working with health plans around the State's data Quality Improvement Plans (DQIPs). In Washington we worked with State staff to develop plan report cards around Evidence Based Medicine (EBM) measures in the DSS. Optum is also currently working with Arkansas BlueCross BlueShield (BCBS) which uses the Symmetry software for member stratification, episode/bundled payment initiatives and many other areas to successfully engage the member and provider community. Arkansas BCBS endorsement of its relationship with Optum and use of the Symmetry suite of products is noted in Figure 4-13.

Figure 4-13: Optum's Symmetry Client Arkansas BlueCross BlueShield. Optum has been a responsive partner to Arkansas BCBS, exceeding expectations for implementation, customer service, training and client support of the Symmetry product suite.



Arkansas
BlueCross BlueShield

601 S. Gaines St.
P.O. Box 2181
Little Rock, Arkansas 72205-2181

Arkansas Division of Medical Services
RE: AME MMIS Decision Support System (DSS); RFP # SP-13-0079

AR BCBS recommends Optum as a strong and viable partner for AR DMS regarding the AME MMIS Decision Support System (DSS); RFP #SP-13-0079. AR BCBS has a long term partnership with Optum and currently utilize the Symmetry suite of products. Optum has been a responsive partner consistently exceeding expectations for implementation, customer service, training and client support. BCBS looks forward to working with Optum as a DMS vendor on mutual key state initiatives. Thank you and feel free to call me regarding my endorsement.

Sincerely,

A handwritten signature in blue ink that reads "Kimberly Crow Hartsfield".

Kimberly Crow Hartsfield
Arkansas Blue Cross Blue Shield
Manager, EBI-Medical Informatics
501-378-5846

Our depth of understanding and experience across all aspects of the health care delivery system informs the way we think about data, the way we organize data, the way we analyze and use data.

4.2.4.1.3 Supporting Payment Reform

Optum has been at the forefront of provider and payer efforts to define models for episode-based care and episode-based payment. Central to these endeavors are our DSS competencies and our data acquisition, data management and data enrichment capabilities. Much of this work is a natural development from the increasing sophistication of our analytical tools and our ongoing

work in clinical areas such as chronic disease management, utilization management, management of specific high-risk clinical settings and management of high-cost conditions.

By virtue of our involvement in these types of activities, we have been asked by payers and providers to assist in the planning and implementation of the transition to bundled payment. The vast majority of these initiatives are still in the planning stages. In spite of the extensive national discourse related to bundled payment, the actual implementation progress on payment bundles (in terms of implemented changes to payment models) has been advancing slowly with provider education and engagement being challenging but vital steps in the process. We are pleased to have been involved with the following two initiatives within the last three years that have made significant progress.

Integrated HealthCare Association (IHA) – In 2010 IHA in California sponsored an initiative to pilot bundled payment for total knee surgery. Optum assisted with the selection of the initial pilot episode; episode definition and the patient inclusion criteria. Early in the episode definition process, Optum used Procedure Episode Groups® (PEGs®) to frame the episode costs.

Optum staff worked with IHA to define the standard entry point for the episode, the standard episode interventions, the standard reimbursement cost and the metrics for patient inclusion in the episode.

The Cleveland Clinic - Optum is working with the Cleveland Clinic as an “alpha” client to develop our software to support structured bundled payments from providers. The Clinic is in the process of implementing episode definitions in pilot for total knee replacement, total hip replacement and for coronary artery bypass grafts. The Clinic has another set of episodes in development with Optum. The software in development will be jointly marketed commercially.

Optum has more than 400 actuaries and cost analytics consultants with subject matter expertise in developing and interpreting cost, quality and access analytics. All of the following steps in the bundle definition require analytics, actuarial analysis or both:

- Identification of episodes of care that are targets for bundling
- Identification of the intervention components of the target episode
- Identification and quantification of the variances in the components, or variances by geography
- Selection of components of the standard episode model
- Identification of the criteria for inclusion and exclusion of patients
- Pricing the standard episode
- Modeling and quantification of performance incentives

Optum has successfully designed, implemented and operated Medicaid DSS and data driven management services. We have been successfully operating DSSs and delivering DSS services to State Medicaid Programs continuously during the last three years. We will deliver on the State’s requirements of today and are the State’s best value partner to advance its MITA maturation and business goals of tomorrow.

4.2.4.2 Subcontractors

MARS and National Audit are not DSS contractors.

5 Vendor References

We are pleased to provide the following references of recent, successfully completed Optum projects that are similar in size and scope to the State's AME DSS. Our DSS solution has been implemented in 11 states and the District of Columbia. Of the 11 states, Optum has provided three Letters of Recommendations for the State's consideration: Illinois, Washington and Michigan. In addition, we have included our subcontractors Letters of Recommendation. Together, the State can feel confident that Optum and our subcontractors will provide the best DSS solution to help transform the Medicaid enterprise.

Optum's Letters of Recommendation



STATE OF MICHIGAN
DEPARTMENT OF COMMUNITY HEALTH
LANSING

RICK SNYDER
GOVERNOR

JAMES K. HAVEMAN
DIRECTOR

January 23, 2013

To Whom it may Concern:

During the last eleven years I have worked directly with Optum (or Bull Services acquired by Ingenix/OptumInsight) as liaison and now manager of the Michigan Department of Community Health Decision Support System (DSS)/Enterprise Data Warehouse (EDW) contract. Optum has provided services and support for the State's DSS since 1994 when they assisted with implementing the first of several iterations of the State's Medicaid DSS.

Over the years with Optum's help, Michigan has leveraged the DSS/EDW for significant cost savings and improved outcomes in a multitude of programs and service areas. Michigan has received national recognition for its DSS from numerous third parties (e.g., National Governors Association, National Association of State Chief Information Officers, The Data Warehousing Institute, and numerous business and trade publications). I personally have presented at national conferences about our DSS solution and about the value the State of Michigan has achieved from innovative uses of the DSS.

In 2010, Optum was awarded a contract which involved refreshing the State of Michigan EDW hardware and software. This project was executed in early 2011 on budget and on schedule with no negative impacts encountered by the 10,000-plus EDW end users.

The DSS is an important component of Michigan's MMIS solution, providing functionality such as: federal reporting (e.g., MSIS, MARS); mental health and waiver program enrollment and tracking; integration of pharmacy data; MMA processing; and program, policy, and financial analysis. Michigan received full CMS certification for its new MMIS – including the DSS – in August, 2011.

The State of Michigan Medicaid staff, including myself, consider Optum a trusted partner that consistently provides high quality DSS related services. Optum supports the State in deriving maximum benefit from a wide variety of health and human services information to improve cost, quality, and outcomes in the Medicaid Program. Throughout the years Optum staff have demonstrated the highest standards of professionalism, knowledge, and orientation to our needs as the customer. Optum is an excellent partner that supports our goals and provides innovative ideas and concepts related to our use of the DSS. I am pleased to offer this letter of recommendation for Optum.

Sincerely,

A handwritten signature in blue ink that reads "Cynthia Green-Edwards".

Cynthia Green-Edwards, Director
Office of Medicaid Health Information Technology
edwardsc@michigan.gov



STATE OF WASHINGTON
HEALTH CARE AUTHORITY

626 8th Avenue, SE • P.O. Box 45502 • Olympia, Washington 98504-45502

December 19, 2012

RE: OptumInsight Letter of Reference

To Whom it may Concern

It is my privilege to write a letter of reference for OptumInsight. During the last ten years, I have worked directly with OptumInsight (or HWT, acquired by Ingenix/OptumInsight in 2006). They have provided services to the State of Washington in two areas:

- OptumInsight is a subcontractor to our Medicaid Management Information System (MMIS) vendor CNSI and provides a variety of Decision Support related tools and services. Specifically, OptumInsight implemented an Ad Hoc Data Warehouse that facilitates end user queries and provides a set of navigation and analysis tools that provide easy access to data for 200 state users. Under the MMIS contract, they also implemented and maintain the Surveillance and Utilization Review (SUR) subsystem of the MMIS.
- OptumInsight has a contract with the State of Washington for a Fraud and Abuse Detection System (FADS) and services. Under this contract, OptumInsight provides technology and tools, clinical expertise and consulting services, and subject matter expertise related to fraud, waste and abuse detection techniques.

The State of Washington considers OptumInsight to be a trusted partner that can be relied upon to work collaboratively with state staff to develop solutions that meet the State's business needs. Throughout development of the Ad Hoc Data Warehouse and since implementation in 2010, they brought a team of experts who were able to envision and strategize with State staff to bring a technical solution and quickly provide usable tools needed to implement.

OptumInsight has also partnered with the State of Washington for a Fraud and Abuse Detection System and Program Integrity services. We have found OptumInsight to be committed to working together to create deliverables and services of the highest quality designed to bring maximum benefits to the State.

I am happy to provide this letter of reference for the OptumInsight Team. Please feel free to contact me if you have additional questions.

Sincerely,

Cathie Ott, Deputy Director
State of Washington Health Care Authority
Division of Program and Payment Integrity
626 8th Avenue – PO Box 45502
Olympia, Washington 98504-5502
360.725.2116

201 South Grand Avenue East
Springfield, Illinois 62763-0002

Telephone: (217) 782-1200
TTY: (800) 526-5812

January 16, 2013

To Whom It May Concern:

I am pleased to write a letter of reference for Optum. During the last year and a half I have worked with Optum (or Bull Services acquired by Ingenix/OptumInsight) as a user of the system and then executive sponsor of the data warehouse services contract. Optum has provided Illinois Department of Healthcare and Family Services (HFS) Enterprise Data Warehouse (EDW) services since 1999 when they implemented the first of several iterations of the HFS's EDW.

OptumInsight designed, developed, implemented, and currently enhances, maintains, and operates the State of Illinois Teradata-based data warehouse and business intelligence environment. The EDW serves as the cornerstone of Illinois' health and human services enterprise. It contains more than 15 years of enrollment and claims data for Illinois Medicaid and CHIP recipients (currently 2.8 million recipients), data related to our child support program, and health and human services data from other state agencies. Its capabilities include advanced analytics, data mining, data warehousing, and decision support.

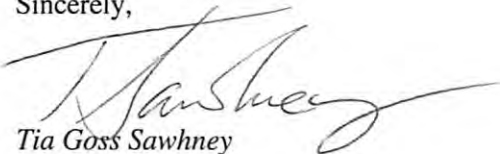
For the past decade, OptumInsight and the State of Illinois have enjoyed a strong partnership. After one of the fastest data warehousing deployments in state government history (nine months from contract signing to full system acceptance), the State's Department of Healthcare and Family Services (HFS) has relied on the EDW to tackle fraud and abuse, support budgeting initiatives, long-term analysis, forecasting of healthcare service utilization, contract management, performance measures, and to improve healthcare outcomes.

OptumInsight has implemented and continues to support a variety of business intelligence and decision support tools and has provided healthcare data analysis and business intelligence services for the State of Illinois throughout this entire time period. The contract has been rebid and renewed twice.

I consider Optum to be a trusted partner that brings quality services and supports the State in deriving maximum benefit from Medicaid, CHIP, and health and human services data in order to improve cost, quality, and outcomes in the Illinois Medicaid Program and meet other state needs. Our on-site Optum staff members are professional, knowledgeable, and oriented to our needs as the customer.

I am pleased to offer this letter of recommendation for the Optum team. Please feel free to contact me.

Sincerely,



Tia Goss Sawhney

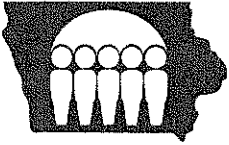
DrPH, FSA

Director of Data, Analytics, and Research

Phone: (312) 814-6820

E-mail: tia.sawhney@illinois.gov

Subcontractors Letters of Recommendation



Iowa Department of Human Services

Terry E. Branstad
Governor

Kim Reynolds
Lt. Governor

Charles M. Palmer
Director

January 25, 2013

State of Arkansas
OFFICE OF STATE PROCUREMENT
1509 West Seventh Street, Room 300
Little Rock, Arkansas 72201-4222

Re: Medical Audit & Review Solutions Reference

To Whom It May Concern:

During the six months, Iowa Medicaid Enterprise ("IME") has had the opportunity to work with Medical Audit & Review Solutions ("MARS") as part of the state's recovery audit contracting team. IME relies on MARS to lead and perform medical necessity audits. MARS is responsible for analyzing Medicaid claims data, selecting cases for audit, performing physician reviews of patient charts and corresponding with our provider community about audit activities and results.

IME has appreciated its partnership with MARS because MARS has met recovery expectations while minimizing provider abrasion. MARS has accurately selected claims for audit (errors have been found on 70% of the Iowa claims audited) while maintaining high case review standards with a physician review on every case. The quality and effectiveness of MARS' work is best evidenced by the number of providers who are accepting MARS' audit results and choosing not to appeal.

MARS staff has readily fielded questions from providers and have worked hard to bridge communications with the Iowa provider community. We are pleased with the work performed by MARS as the Iowa Medicaid RAC.

Sincerely,

Rocco Russo Jr., CPC
Program Integrity Director
Iowa Medicaid Enterprise
515-256-4632



January 24, 2013

State of Arkansas
OFFICE OF STATE PROCUREMENT
1509 West Seventh Street, Room 300
Little Rock, Arkansas 72201-4222

Re: Medical Audit & Review Solutions Reference

To Whom It May Concern:

The Business Development team at Independence Blue Cross ("IBC") has been leading an effort to assess and pilot the capabilities of Medical Audit & Review Solutions ("MARS"). We have been working with MARS since summer of 2012 and have analyzed and quantified the medical necessity opportunities at IBC during that time period. MARS has come in and won over stringently discipline utilization management and audit teams and is currently working to implement a full medical necessity audit program at IBC.

IBC has been quite pleased with the depth of clinical and analytic expertise that MARS brings to its work. MARS has proven that it can identify good quality audit case candidates even in an environment like IBC's that has an award-winning audit department and a strong utilization management process. MARS has been able to adapt its approach to IBC's unique needs and has been very responsive in our day-to-day interactions.

I am happy to recommend MARS and believe that you would find them very helpful in establishing an effective clinical peer review and audit program in your state.

Please feel free to contact me if you would like more information.

Sincerely,

A handwritten signature in black ink, appearing to read "Francine Pramana", written over a light blue horizontal line.

Francine Pramana
Business Development Specialist
1901 Market Street, 25th Floor
Philadelphia, PA 19103
Phone: 215 241-9324
Email: Francine.Pramana@ibx.com



4350 E. Cotton Center Blvd.
Building D
Phoenix, Arizona 85040
Phone 602-263-3000
Toll Free 800-624-3879

January 24, 2013

State of Arkansas
OFFICE OF STATE PROCUREMENT
1509 West Seventh Street, Room 300
Little Rock, Arkansas 72201-4222

Re: Medical Audit & Review Solutions Reference

To Whom It May Concern:

Southwest Catholic Health Network Corporation dba Mercy Care Advantage HMO SNP ("MCA") is a Special Needs Plan that serves residents of Arizona who are enrolled in both Medicare and Medicaid programs. MCA is jointly owned by two hospital systems, Dignity Health and Ascension Health, and operated by Schaller Anderson, an Aetna company, through a management services agreement.

MCA began discussions with Medical Audit and Review Solutions ("MARS") in April of 2012 and formally engaged MARS in August of 2012 to perform medical necessity audits. MCA chose to work with MARS because of MARS' deep clinical expertise, commitment to use physicians to review cases, and ability to identify cases for audit with a high probability of errors (over 65% of selected cases result in denials). MARS brings in-depth, well-researched clinical guidelines to its case reviews. As a result of the high quality of the review, they also offer an opportunity to use the reviews as an educational tool.

MCA and MARS have worked successfully in concert over the last several months to quickly and professionally implement a medical necessity audit program. MARS has demonstrated flexibility by accommodating our requests, such as performing onsite audits, accessing records electronically and doing desk audits. MARS has also kept provider abrasion low with same-day, respectful responses to provider inquiries and proactive phone calls to keep providers aware of deadlines and information updates.

We enthusiastically recommend MARS to the State of Arkansas and are happy to answer questions if you wish to contact us.

Sincerely,

A handwritten signature in black ink, appearing to read "Charlton Wilson".

Charlton Wilson, M.D
Chief Medical Officer
Mercy Care Advantage



Texas Children's Health Plan Inc.

www.TexasChildrensHealthPlan.org

Controls and Compliance – NB8302

P. O. Box 301011

Houston, Texas 77230-1011

January 30, 2013

To Whom it May Concern:

National Audit, now part of SCIO Health Analytics, has been performing various audit services for Texas Children's Health Plan (a Medicaid Plan in the state of Texas) since 2009.

National Audit and its staff possess extensive industry knowledge and experience and have consistently exceeded our expectations with their level of service, flexibility and results. They have been very responsive to our questions and in following up on issues needing further research. In addition, their professionalism and integrity ensures an unbiased audit process that assists us in maintaining strong ties with our provider network.

As a result, we would highly recommend them to any organization or government entity needing a vendor to perform health claims auditing services.

Please feel free to contact me at 832-828-1022 in this regard.

Sincerely,

A handwritten signature in cursive script that reads "Sharon McWhorter".

Sharon McWhorter, CPA, CPC
Manager, Controls and Compliance
Texas Children's Health Plan



January 30, 2013

National Audit Reference Letter

To Whom It May Concern:

Humana has worked with National Audit, a wholly-owned subsidiary of SCIO Health Analytics, since 2009. National Audit has been performing on-site pharmacy audits for Humana's Special Investigation Unit (SIU) for over four years. This type of audit is labor intensive and involves being on-site at the pharmacy for consecutive days.

National Audit stays in touch both during the set-up of the audit and during its duration which is helpful to my investigator staff and makes them feel part of the on-site investigation. Each audit output is substantial citing a full rounded picture of what the on-site auditor found at each pharmacy. National Audit is very open to feedback and has worked hard to meet every SIU for our on-site pharmacy audits.

Throughout the duration of our relationship we have found National Audit and its staff to exhibit professionalism, integrity, flexibility and industry knowledge and experience. They fully partner with SIU sharing ideas and launching suggestions on each audit.

I would highly recommend National Audit as an on-site pharmacy auditor. Please feel free to contact me at 920-343-1113 regarding this reference.

Please note this representation only applies to the work performed for Humana to take date under the referenced agreement with Humana.

Sincerely,

A handwritten signature in black ink that reads "Paula Stankevitz". The signature is written in a cursive style.

Paula Stankevitz, CPC; AHFI
Manager Special Investigations



February 8, 2013

To whom it may concern:

National Audit, now SCIO Health Analytics, has been performing various audit services for FirstCare Health Plans (a health plan in the state of Texas offering a variety of HMO plans, Medicare, Medicaid, CHIP, Federal and State plans and Self Insured options) since 2009.

National Audit has been a pleasure to work with during this time and is always very responsive to our needs and requests. We have found them to be extremely knowledgeable and adept at claims overpayment identification in a variety of clinical settings and their results bear this out. They consistently exhibit professionalism and are proficient at maintain positive relationships with our provider network.

As a result, we would highly recommend them to any organization needing health claims auditing services.

Please feel free to contact me at (806) 648-5266 in this regard.



Marci Barnhart, AHFI, CPC, CPC-H
Audit Supervisor
FirstCare Health Plans

5.1 References

5.1.1. Optum's References

State of Michigan			
Project	Enterprise Data Warehouse	Current Period of Performance	November 2010 – Present
Staff Months	1,620	Current Contract Amount	\$35M
Work Performed	<ul style="list-style-type: none"> Enterprise Data Warehouse Design, Development, Installation and Operations Decision Support Services 		
Customer Reference	Name: Cynthia Green-Edwards, Director Phone: 517.241.9998 Email: edwardsc@michigan.gov		
Responsibility and Experience	<p>In 1994, Optum worked with the Department of Social Services to build the first Medicaid-centric data warehouse in the country – beginning with about 50 users. Today, we continue to operate a full-fledged business intelligence solution encompassing multiple departments including the Department of Human Services, Department of Community Health, Department of Treasury and State Court Administrative Office. The resulting capabilities are used by more than 10,000 individuals across the State. Optum currently provides about 40 staff to support the State.</p> <p>With Optum's help, Michigan has translated data analysis into huge cost savings and improved outcomes in a multitude of programs and service areas. Michigan has received national recognition from numerous third parties (e.g., National Governors Association, National Association of State Chief Information Officers (CIOs), The Data Warehousing Institute and numerous business and trade publications).</p> <p>In 2010, Optum was selected to refresh the hardware and software. This project was executed on budget and on schedule with no negative impacts encountered by end users. An important component of Michigan's MMIS solution, the Optum solution provides functionality supporting federal reporting; mental health and waiver program enrollment and tracking; integration of pharmacy data; and program, policy and financial analysis. Michigan received full CMS certification for its new MMIS – including the DSS component – in August, 2011.</p>		
State of Washington			
Project	Ad Hoc Data Warehouse & Program Integrity	Current Period of Performance	July 2000 – Present
Staff Months	169	Current Contract Amount	\$8.6M
Work Performed	<ul style="list-style-type: none"> Ad Hoc Date Warehouse Design, Development, Installation and Operations Fraud and Abuse Detection System Installation and Operations Program Integrity Services including SURS and DSS 		
Customer Reference	Name: Cathie Ott, Deputy Director Phone: 360.725.2116 Email: cathie.ott@hca.wa.gov		

Responsibility and Experience	<p>Ad Hoc Data Warehouse. In 2010, Optum implemented a Medicaid DSS solution – referred to as the Ad Hoc Data Warehouse – as a subcontractor to CNSI, to meet State of Washington’s Medicaid DSS requirements. As part of this sub-contract to the Medicaid management information systems (MMIS) implementation, Optum also provided the SURS. The Washington solution is provided as a hosted solution much like what we are proposing for the AME DSS project. The Optum solution was implemented within the proposed one year time frame with the new MMIS and its DSS component, inclusive of a SUR subsystem, received full federal certification in 2011.</p> <p>Program Integrity. Optum provides a comprehensive program integrity solution to the Health Care Authority (HCA), the State of Washington Medicaid program, including a full program of overpayment detection analytics and recovery services and sophisticated models to support HCA’s internal audit staff, including analytics designed to support DRG, Pharmacy and Medical audit teams. As the program integrity contractor, we build and maintain databases and run post-payment analytics which are provided to the PI program integrity operation for recovery. Our analytics support identification not only of Medicaid funded services but also of services that are funded by state-only dollars. We support the recovery operations with our Provider Relations team. We also perform advanced analytics to evaluate spend in the FFS program and services provided by MCOs. We provide ad hoc query, case management, audit management, recovery management and reporting tools to state staff to enhance their ability to detect and recover improperly paid claims. We have had a continuing ten year relationship supporting Washington in this role.</p> <p>Optum staff work with State personnel on DSS analytics and DSS business services for both projects. Both contracts are currently in the operations and maintenance period.</p>		
State of Illinois			
Project	Enterprise Data Warehouse	Current Period of Performance	January 2012 – Present
Staff Months	420	Current Contract Amount	\$22M
Work Performed	<ul style="list-style-type: none"> • Enterprise Data Warehouse Design, Development, Installation and Operations • Decision Support Services • IMARS Installation and Operations 		
Customer Reference	<p>Name: Tia Goss Sawhney, DrPH, FSA Phone: 312.814.6820 Email: tia.sawhney@illinois.gov</p>		
Responsibility and Experience	<p>Since 1999, Optum has designed, developed, implemented, operated and continues to enhance the State of Illinois Department of Healthcare and Family Services business intelligence solution. Serving as the cornerstone of Illinois’ health and human services enterprise “single source of truth”, this data repository contains more than 15 years of enrollment and claims data for Illinois Medicaid and CHIP recipients (currently 2.8M recipients), data related to the State’s child support program and health and human services data from other state agencies. Its capabilities include advanced analytics, data mining, ad hoc reporting and decision support services.</p> <p>After one of the fastest information technology deployments in state government history (nine months from contract signing to full system acceptance), the Department has relied on the Optum DSS environment to tackle fraud and abuse, inform budgeting initiatives, provide long-term analysis, forecast health care service utilization, manage contracts, establish performance measures and improve program outcomes.</p> <p>Optum has implemented and continues to support a variety of DSS tools in response to environment impacts and changing Department business needs with a recent example being</p>		

	successful execution of an IMARS enhancement. The contract has been rebid and renewed twice. We have provided DSS services including health care data analysis and for the State throughout our consecutive contract terms.
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5.1.2. Subcontractor's References

5.1.2.1. MARS

Iowa Department of Human Services			
Project	Medicaid Recovery Audit Contractor (RAC) for Medical Necessity	Current Period of Performance	June, 2012 – Present
Staff Months	48	Current Contract Amount	Contingency Arrangement
Work Performed	<ul style="list-style-type: none"> • Claims Analysis • Chart Reviews • Provider Communications • Appeals Support 		
Customer Reference	Name: Rocco Russo, Jr., CPC Phone: 515.256.4632 Email: russo@dhs.state.ia.us		
Responsibility and Experience	<p>Optum subcontracts the medical necessity case selection and physician reviews to MARS for the Iowa Medicaid program integrity project. Work activities include claims analysis to select cases for audit, physician review of charts obtained from providers, communication with providers about audit results and support of clinical appeals.</p> <p>MARS algorithms have led to a better than 75% accuracy rate for identifying medical necessity issues (confirmed with physician chart reviews) compared to the approximately 33% accuracy rate achieved by the Medicare RACs. This Medicaid client serves 386,000 participants and spends roughly \$3.2 billion per year. MARS is currently focusing its audit on inpatient claims and is on track to recover a greater than projected \$4.0M in the implementation year of the audit program.</p>		
Independence Blue Cross (IBC)			
Project	Utilization Management Improvement	Current Period of Performance	August, 2012 – Present
Staff Months	60	Current Contract Amount	Contingency Arrangement
Work Performed	<ul style="list-style-type: none"> • Data Analysis • Provider Profiling • Chart Reviews 		
Customer Reference	Name: Francine Pramana Phone: 215.241.9324 Email: Francine.Pramana@ibx.com		

Responsibility and Experience	<p>MARS analyzes claims and utilization management data to profile providers and clinical areas to determine where improvements can be made. MARS has also selected cases for chart reviews and is performing the chart reviews. MARS' is then helping the plan implement contracting and utilization management changes that will lower error rates in the future.</p> <p>MARS is helping IBC plan improve its concurrent medical necessity review process with claims analysis, provider profiling and physician case reviews. MARS is also just starting implementation of an audit and recovery program for the plan. This plan serves 3.1M members and has revenue of over \$9B per year. MARS work will result in savings or recoveries of \$20M to \$30M per year for the plan.</p>		
Mercy Care Advantage HMO SNP			
Project	Managed Medicaid Recovery Audit Contractor for Medical Necessity	Current Period of Performance	October, 2012 - Present
Staff Months	36	Current Contract Amount	Contingency Arrangement
Work Performed	<ul style="list-style-type: none"> • Claims Analysis • Chart Reviews • Provider Communications • Appeals Support 		
Customer Reference	<p>Name: Charlton Wilson, M.D. Phone: 602.263.3000 Email: wilsonc9@aetna.com</p>		
Responsibility and Experience	<p>MARS is the recovery auditor for dual-eligible members enrolled in a Medicare Advantage SNP that serves about 26,000 members. Work activities include claims analysis to select cases for audit, physician review of charts obtained from providers, communication with providers about audit results and support of clinical appeals.</p> <p>MARS is in the process of collecting the first \$3.5M in recoveries for this plan.</p>		

5.1.2.2. National Audit

Texas Children's Health Plan, Inc.			
Project	Auditing Services	Current Period of Performance	2009 - Present
Staff Months	24	Current Contract Amount	\$750,000
Work Performed	Medical Claims Audit Services		
Customer Reference	<p>Name: Sharon McWhorter, CPA, CPC Phone: 832.828.1022 Email: scmcwhor@texaschildrens.org</p>		
Responsibility and Experience	<p>National Audit is responsible for overpayment recoveries for Medicaid hospital facility claims including claim selection, scheduling, auditing by comparing the medical record to the itemized bill on a claim by claim basis to ensure the charges billed or coding is supported by the</p>		

	medical record, obtaining provider agreement to audit findings and client reporting.		
Humana			
Project	Pharmacy Audit Services	Current Period of Performance	2008 - Present
Staff Months	36	Current Contract Amount	\$1.5M
Work Performed	Fraud Investigation Services		
Customer Reference	Name: Paula Stankevitz, CPC; AHFI Phone: 920.343.1113 Email: pstankevitz@humana.com		
Responsibility and Experience	Having created the investigative process in collaboration with client in 2008 that is still in effect today, National Audit provides fraud investigation services in the Medicare Part D/Medicaid/Commercial Pharmacy area on behalf of the health plan. Investigations are performed by a licensed pharmacist and include drug wholesaler invoice reconciliation, pedigree review, pharmacy employee interviews, prescription review and physical observation review of pharmacies. Results/findings are provided to the health plan on a daily basis with documentation inclusive of photographs, scanned prescriptions and drug purchase counts/reconciliation materials. Reports are prepared for the health plan's use for internal purposes as well as with law enforcement, OIG and MFCUs. Additional services include provision of testimony and expert witnesses as well as coordination efforts with appropriate entities.		
FirstCare			
Project	Auditing Services	Current Period of Performance	2009 - Present
Staff Months	12	Current Contract Amount	\$500,000
Work Performed	Medical Claims Audit Services		
Customer Reference	Name: Marci Barnhart Phone: 806.648.5266 Email: mbarnhart@firstcare.com		
Responsibility and Experience	National Audit is responsible for overpayment recoveries for Medicaid hospital facility claims including claim selection, scheduling, auditing by comparing the medical record to the itemized bill on a claim by claim basis to ensure the charges billed or coding is supported by the medical record, obtaining provider agreement to audit findings and client reporting.		

Attachment A Key Personnel Requirements

The experience, qualifications, and skills of project staff are fundamental to the success of the Arkansas Medicaid Enterprise (AME) Decision Support System (DSS). Optum's record of on time implementations and significant return on investment results from the excellence of the staff we provide. Our proposed team meets all of the requirements for key staff outlined in the State's Request for Proposal (RFP).

A.1 Key Personnel Requirements

A.1.1 General

The Optum AME DSS project will be led by a team of highly qualified and experienced executive, management, technical, and reporting and analysis staff with extensive data warehouse and decision support knowledge, skills, and experience, as well a strong background in Medicaid to the project. For example, our proposed Project Manager, Mr. Steve Grimshaw, is a certified Project Management Professional (PMP) and experienced in Medicaid DSS and MMIS implementations.

All individuals proposed as key staff for this project have worked on our past successful projects with government and commercial clients and have achieved success in delivering innovations, efficiencies, and cost savings. All of these key staff members exceed the minimum experience requirements, have worked on past Optum DSS implementations, and know Optum's current DSS solution. Our staff members are experienced in HIPAA issues and implementations, ICD-10, and CMS MMIS certification process and success. Combined they have in excess of 125 years of experience directly related to successful implementation of the AME DSS.

We provide project organization charts, as well as names, Key Personnel Profiles, and resumes for all key staff in Proposal Section A.2 Key Personnel. The organization charts reflect both key staff and additional proposed non-key staff positions.

We are also including in this section, the resume of our proposed Arkansas licensed pharmacist who will lead project pharmacy audit activities. While the RFP does not designate her as a key staff person under the requirements of this section, the information seemed to best fit here.

A.1.1.1 Key Personnel Profile Completion Information

Key Personnel Profiles and Resumes for each proposed key staff member are located in Proposal Section A.2 Key Personnel.

A.1.1.2 Additional Completion Guidelines

A.1.1.2.1 Professional References

Professional references are provided for all key staff as part of the Key Personnel Profiles located in Proposal Section A.2 Key Personnel.

A.1.1.1.2 Experience Dates

Experience information (including the required beginning and ending dates) is provided for all key staff as part of the Key Personnel Profiles located in Proposal Section A.2 Key Personnel.

A.1.1.1.3 Description of Duties

Experience information (including the required description of duties) is provided for all key staff as part of the Key Personnel Profiles located in Proposal Section A.2 Key Personnel.

A.1.1.2.4 Resume

Resumes are provided for all key personnel in Proposal Section A.2 Key Personnel.

A.1.1.2.5 Exclusion of Sensitive Personal Information

We have not included personal information for any Optum or subcontractor staff members.

A.1.2 Non-Key Personnel

We provide organization charts in proposal Section A.2 Key Personnel for both the Design, Development, and Implementations (DDI) and the Operations categories. The non-key personnel positions for the DDI category exceed ten FTEs. These positions will be filled with persons possessing excellent qualifications and expertise for the position. Optum maintains high standards for hiring and for the performance of employees. All non-key personnel will work under the direction of Project Manager Steve Grimshaw. Mr. Grimshaw will continue to maintain Optum's high standards in his management of the AME DSS implementation.

Mr. Grimshaw has support from the broader Optum organization and our internal delivery assurance process to insure that staff meet Optum's standards and that the delivery of the AME DSS is assured. To that end Optum has appointed Mr. Dave Goetz to serve as Executive Client Manager on this account. In that role Mr. Goetz will work in cooperation with Mr. Grimshaw and serve as liaison between Optum executive leadership and State management staff to insure that the delivery of the AME DSS is on time, on budget, and of high quality. Mr. Goetz has extensive experience in state government and has served in a similar capacity to the Arkansas AR HIE implementation. Mr. Goetz serves in this role at no charge to the contract or to the State.

A.2 Key Personnel Positions

Arkansas requests that staffing be provided for two categories: DDI and Operations. We discuss each of these categories below:

DDI Category

Our proposed AME DSS DDI key staff are:

- **Project Manager Steven Grimshaw, PMP:** Mr. Grimshaw has more than 20 years of relevant experience and has been the Project Manager responsible for Optum's largest DSS.
- **DDI Manager Jack Swearingen:** Mr. Swearingen has more than 20 years of experience in data warehousing and operational decision support with experience in all phases of life cycle development.
- **Technical Solution Manager Paul Claseman:** Mr. Claseman has more than 20 years of relevant experience with focus on data warehousing. He has deep experience in ICD-10 data and analytics

- **Business Solution Manager Steve Quaal, CBIP:** Mr. Quaal has more than 27 years of relevant experience in data warehousing and business analytics with 13 years of experience in Medicaid DSS business analytics.
- **Testing Manager Vrinda Dabke:** Ms. Dabke leads Optum's Delivery Assurance Group and has more than 20 years of experience in business solutions with emphasis on information delivery.
- **Documentation/ Training Manager Ann Nurenborg, CBIP:** Ms. Nurenborg has more than 9 years of Medicaid DSS training experience combined with more than 14 years of experience working for state government in Michigan.
- **Interface Data Manager Alex Yevzelman:** Mr. Yevzelman has more than 13 years of innovative information systems design, implementation and use. He has experience in clinical data and holds multiple Oracle certifications.

Collectively, these key staff members bring more than 125 years of directly relevant experience to the AME DSS project. Over many years and engagements, they have worked side-by-side with our state government clients to help them achieve nearly \$3 billion in customer-documented financial benefits and breakthrough health care outcomes. Our experienced professionals will deliver an on-time AME DSS implementation that meets and/or exceeds State requirements.

Our proposed DDI staffing for the AME DSS aligns with strategies that have proven successful in our previous Medicaid DW/DSS implementations. These include providing the following:

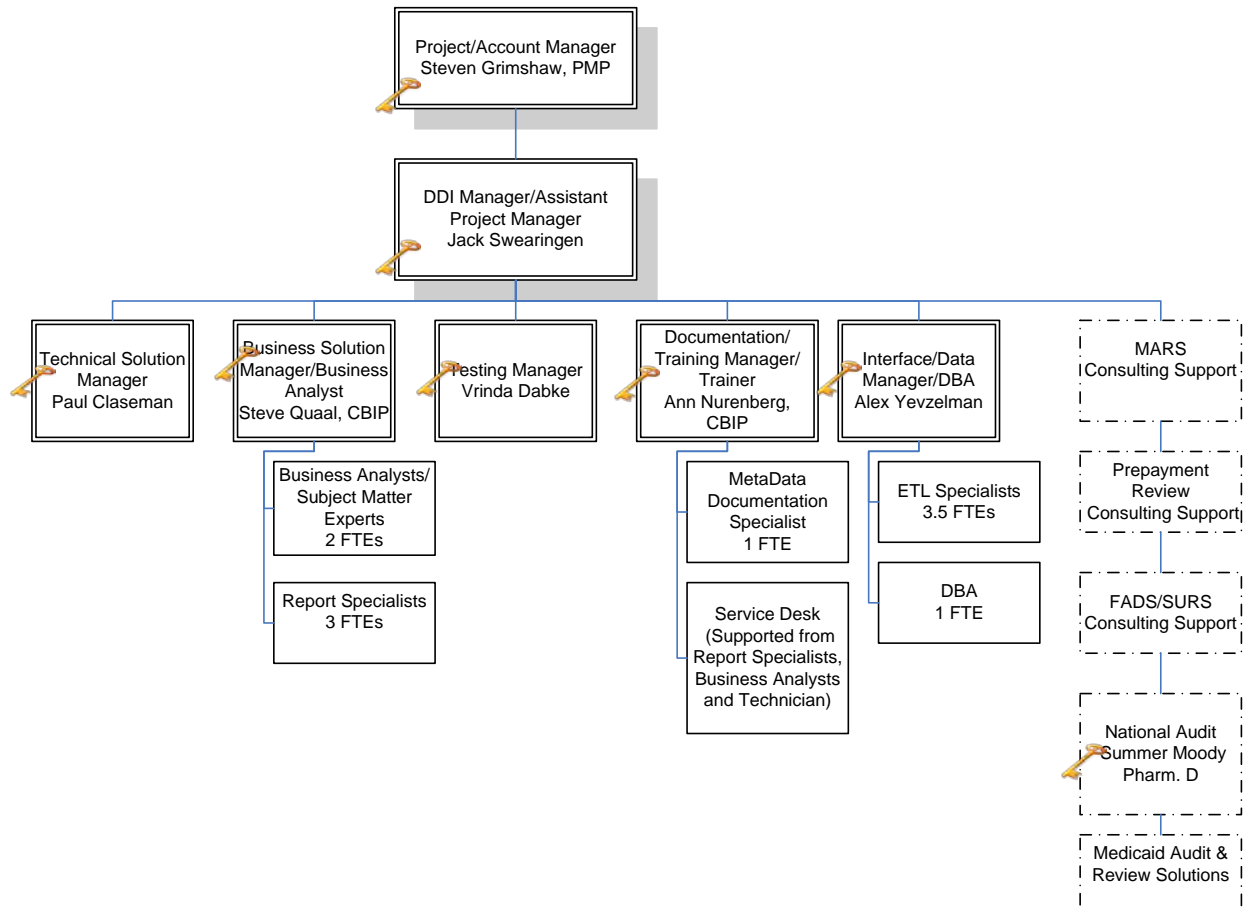
- Proven leadership in all key project functions: contract management, project management, data warehouse and business analytics management, reporting & analysis, and training
- Staff members who are experienced in implementation projects and are senior level staff. They individually and collectively exceed the minimum requirements
- A team that addresses both the technical and the business needs of the State. Every member of the team has substantial experience in healthcare, information technology, and Medicaid decision support. Many team members have Certified Business Intelligence Professional (CBIP), PMP, and other technical certifications
- An impeccably qualified project manager, Mr. Grimshaw, who has more than 20 years of relevant experience in DSS and MMIS solutions
- An experienced Business Solution Manager, Mr. Quaal, who has worked extensively with other state clients to solve business issues

We are providing more than 17 highly qualified staff for the DDI phase. In addition to the seven identified key staff and the designated pharmacist, we are providing more than ten identified FTEs to support the initial DDI delivery. All of the key staff will work full time on the project. We are also providing extensive implementation, training, and consulting support for our IMARS and FADS/SURS implementations. While audit functions are not proposed to begin until after the DDI phase, we have identified National Audit and Medical Audit & Review Solutions in the DDI organization chart. This is in keeping with our approach of organizing these resources during the DDI phase so that they can begin in operations.

Overall the level of staff commitment we are proposing provides the resources for a successful AME DSS implementation and capacity to manage project risk.

Figure A-1 depicts the Optum organization chart for the project’s DDI category.

Figure A-1: DDI Organization. Our key staff members have the experience and knowledge to successfully implement the AME DSS.



Operations Category

The State did not identify any key positions for the Operations phase. However, we are providing our proposal for staffing to deliver the best value to the State from the AME DSS after it is built.

Our strategy for the Operations Category is designed to:

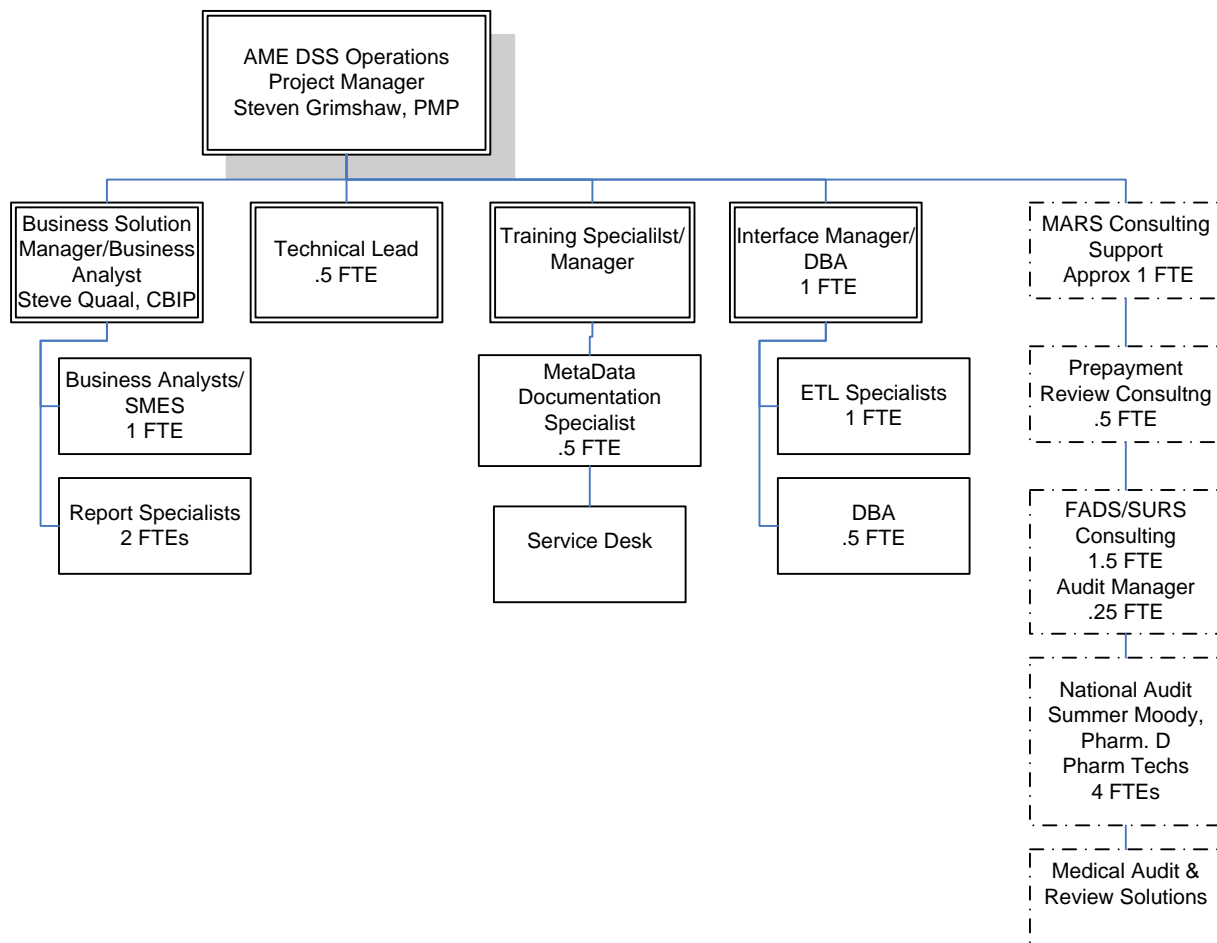
- Continue to bring the right people, to the right place, at the right time, to meet specific needs of the State.
- Provide for the maximum possible continuity of staff DDI to Operations. Mr. Grimshaw will continue as project manager during Operations.
- Bridge business knowledge and analytics from DDI to Operations. Business Solution Manager, Mr. Steve Quaal, will continue to be part of the staff team during Operations.

- Invest in Arkansas by hiring key local staff to become a part of the Operations team.
- Provide knowledgeable and experienced staff to meet SLAs for system availability and performance, data quality, product support, etc.
- Provide analysts and report writers, a trainer manger and ETL and DBAs. Help Desk for Operations will be supported from operational staff. We are proposing more than 10 FTEs to support non-audit Optum AME DSS operations. Our business consultants bring expertise in Medicaid subject matter and technical expertise in data warehouse development.
- Provide ongoing support for MARS and FADS.
- Provide ongoing management of Audit functions

Our Operations staffing plan provides more than 17 FTEs with identified operations positions and extensive consulting for MARS, FADS/SURS, and Prepayment to help the State maximize value from the implemented AME DSS. It also includes peer review and audit functions and staff from Optum to manage and support these efforts.

Figure A-2 depicts the Optum organization chart and resources for the Operations Category.

Figure A-2: Operations Organization: AME DSS Key Staff



A.2.1 Project/Account Manager – Steve Grimshaw

We propose Mr. Steve Grimshaw, PMP, as the Project Manager for the AME DSS project. He has demonstrated success and experience in all key experience requirements the project manager position. Mr. Grimshaw is an experienced project manager with than 20 years of experience in all phases of information system implementations including MMIS and DSS implementations. Mr. Grimshaw has demonstrated experience in management of all project staff and functions for large DSS projects. In his current assignment, Mr. Grimshaw is highly respected by the customer for his personal and professional qualities. In this assignment, he directs all project resources including scheduling and provisioning. He is the key Optum staff person working with State staff to manage project risk. Mr. Grimshaw participates in all discussion and decisions related to system configuration control. He also has previous work experience in positions responsible for all aspects and phases of DDI. Mr. Grimshaw is an expert project manager who will make certain that all DDI and Operations milestones are managed and achieved in accordance with the approved work plan.

A.2.1.1 Project/Account Manager Key Personnel Profile Summary – Steve Grimshaw

Project Manager Steve Grimshaw Key Personnel Profile Summary			
Professional References			
	Reference 1	Reference 2	Reference 3
Contact Name	Mary Lou Lopez, Project Oversight and Initiation Section California Department of Public Health (CDPH)	Patricia Squires Deputy Director of Program Operations (DC MMIS)	Lynn Puckett (OK MMIS) Director of Contractor Services
Phone Number	(916) 324-9942 (w) (530) 601-0864 (m)	(202) 698-1705	(405) 522-7339
Email Address	Marylou.lopez@cdph.ca.gov	patricia.squires@dc.gov	Lynn.puckett@okhca.org
Company Name	Information Technology Services Division, Project Management Office Office of Statewide Health Planning and Development (OSHPD)	Department of Health Care Finance District of Columbia	Oklahoma Health Care Authority
Mailing Address	1615 Capitol Avenue Sacramento, CA 95814	2100 Martin Luther King Avenue Washington, DC 20020	2401 N.W. 23 rd Street Suite 1A Oklahoma City, OK 73107

A.2.1.2 Project/Account Manager Education and Training – Steve Grimshaw

Project Manager Steve Grimshaw Key Personnel Profile Summary		
Education and Training		
Education and Training	Meets Requirement	Relevance to Project Duties and Obligations
Bachelor Degree	Yes	Mr. Grimshaw's degree Accounting with Computer Science Minor support his long experience in information implementation and operations management.
Advanced Degree or Additional Experience	Yes	Mr. Grimshaw does not have an advanced degree, but has more than 24 years of appropriate experience. He has more than 9 years of experience in DSS and MMIS implementations and operations.
Professional Training and Certifications	Yes	PMP

A.2.1.3 Project/Account Manager Relevant Experience – Steve Grimshaw

Project Manager Steve Grimshaw Key Personnel Profile Summary	
Relevant Experience	
Date	2/2009-Present
Role	Project Manager
Project Name	California Department of Health Care Services Management Information System/Decision Support System Project (Optum)
Contact Information	Mary Lou Lopez, Senior Project Manager (CA MIS/DSS) Information Technology Services Division, Project Management Office Office of Statewide Health Planning and Development (OSHPD) 400 R Street, Suite 387 Sacramento, CA 95811-6213 (916) 326-3886 (530) 601-0864
Description of Duties:	
<ul style="list-style-type: none"> • Senior person responsible for the day-to-day operations / supervision / management of the scope of work under the Contract • Works closely with and serves as the single point-of-contact to the California DHCS MIS/DSS Project Manager to provide for the success of the project • Directs activities such as: <ul style="list-style-type: none"> – Managing Optum and subcontractor resources – Issue resolution/decision making – Pre-implementation reviews – Detailed schedule and budget planning activities; defining specifications and requirements – Arranging for, directing and managing Optum Government Solutions, Inc. interests in project meetings – Defining and negotiating acceptance criteria – Project implementation coordination – Establishing and maintaining communications between Optum, its subcontractors and the State 	

Project Manager Steve Grimshaw Key Personnel Profile Summary	
Relevant Experience	
<ul style="list-style-type: none"> - Initiating and managing regularly scheduled and ad hoc project reviews - Timely identifying and resolving issues - Defining and providing training • Manages the process that produces defined deliverables, using available resources within the estimated timeframe • Leads the development (including subcontractors), nurturing effective project teams and organizational relationships • Defines and manages the Change Management process 	
Date	3/2007 -1/2009
Role	Assistant Project Manager
Project Name	California Department of Health Care Services Management Information System/Decision Support System Project (Optum)
Contact Information	Mary Lou Lopez, Senior Project Manager (CA MIS/DSS) Information Technology Services Division, Project Management Office Office of Statewide Health Planning and Development (OSHPD) 400 R Street, Suite 387 Sacramento, CA 95811-6213 (916) 326-3886 (530) 601-0864
Description of Duties:	
<ul style="list-style-type: none"> • Managed, planned, directed, and supervised the development and implementation of the MIS/DSS. • Assisted the Project Manager with administrative duties related to the project (i.e., tracking metrics such as milestones, issues, architectural adherence, resource utilization, testing, documentation, communicating progress, etc.) and worked closely with the DHS MIS/DSS Project • Played a major role in project management activities including: <ul style="list-style-type: none"> - Managing Optum and subcontractor resources - Issue resolution/decision making - Pre-implementation reviews - Detailed schedule and budget planning activities - Defining specifications and requirements - Arranging for, directing and managing Optum interests in project meetings - Defining and negotiating acceptance criteria - Project implementation coordination - establishing and maintaining communications between Optum, our subcontractors and the State - Initiating and managing regularly scheduled and ad hoc project reviews - Establishing and maintaining a project change control process - Managing and incorporating changes - Timely identification/resolution of issues - Completing project deliverables; defining and providing training 	
Date	2/2006-3/2007
Role	Systems Manager
Project Name	District of Columbia MMIS Fiscal Agent (ACS State Health Care)
Contact Information	Patricia Squires (DC MMIS) Deputy Director of Program Operations

Project Manager Steve Grimshaw Key Personnel Profile Summary	
Relevant Experience	
	Department of Health Care Finance District of Columbia 2100 Martin Luther King Avenue Washington, DC 20020 patricia.squires@dc.gov (202) 698-1705
Description of Duties:	
<ul style="list-style-type: none"> • Planned and organized all systems related activities (on-site, and off-site) to ensure that the District of Columbia's Medicaid Management Information System (MMIS) processed claims accurately and in a timely manner, and that all online and batch jobs performed as expected and in accordance with contractual obligations • Provided leadership for the systems staff and project managers in direction, methods, and technology • Coordinated work efforts between the Medicaid Assistance Administration and ACS 	
Date	9/2005-1/2006
Role	Program Manager, Health and Human Services Practice
Project Name	Bull Services, Health and Human Services Practice
Contact Information	Dan Kubicz 2515 Brisbane Wolverine Lake, MI 48390 248 891-8405 Dan.kubicz@optum.com
Description of Duties:	
<ul style="list-style-type: none"> • Managed and tracked the development of demonstration software for the sales staff • Assisted in the evaluation of Medicaid Data Warehouse/DSS RFPs, proposal development, and presales activities 	
Date	6/2002-9/2005
Role	Software Engineering Manager, Business Development
Project Name	Unisys Corporation
Contact Information	John Singleton VP of Marketing and Sales (no longer with Unisys) 571-265-3532 johnsingleton32@gmail.com
Description of Duties:	
<ul style="list-style-type: none"> • Assisted in the evaluations of RFP and RFIs; and the development of product solutions, gap analysis, proposal writing and work plan development, including schedules, statement of work, task orders and resource assignments • Led a matrix organization of project managers in the development of work schedules and resource allocations (Build of Effort) • Developed Statements of Work for internal and external organizations • Developed document repositories that were accessible through Web browser interfaces to project and management staff 	
Date	3/1997-6/2002

Project Manager Steve Grimshaw Key Personnel Profile Summary	
Relevant Experience	
Role	Technical Manager II
Project Name	Verizon
Contact Information	Todd Meyer Assistant Deputy Director Missouri Health Net Division 573-751-7996 Todd.Meyer@dss.mo.gov
Description of Duties:	
<ul style="list-style-type: none"> Planned and organized all systems related activities (on-site, off-site, and off-shore) to ensure that the Missouri's MMIS processed claims accurately and in a timely manner, and that all online and batch jobs performed as expected and in accordance with contractual obligations Supervised two PMI-certified project managers and two project managers working toward certification during the operation and enhancement phase of contract Managed project plans that were developed in Microsoft project, details from time reporting system were fed into Microsoft Project for capture of actual hours worked by individual task, work was tracked at the lowest level of detail in each project plan. Schedules and resource requirements were reviewed weekly Provided leadership for the systems staff and project managers in direction, methods, and technology Coordinated work efforts between the Division of Medical Services, Division of Aging and the Division of Data Processing for the Department of Social Services and Department of Health Managed the implementation of ten enhancements to the MMIS between 1999 and 2002 generating 21.9 million dollars in revenue. The Missouri MMIS processed 64.4 million claims transactions in 2001 	
Date	12/1995-3/1997
Role	Systems Manager
Project Name	Unisys Corporation
Contact Information	Lynn Puckett (OK MMIS) Director of Contractor Services Oklahoma Health Care Authority 2401 N.W. 23rd Street Suite 1A Oklahoma City, OK 73107 Lynn.puckett@okhca.org (405) 522-7339
Description of Duties:	
<ul style="list-style-type: none"> Developed project work plans using Microsoft Project for Maintenance and Modification team Supervised two project managers that managed the day-to-day activities of Systems Maintenance and Modification, LAN Support, and Production Control teams, a staff of more than 30 Increased the completion of work orders from three per month to 25 - 35 per month by tracking work plan estimated hours to actual hours from the time reporting system, allowing Unisys to meet contractual year-end work order inventory requirements Tracked actual to estimated work schedules and produced reports for both management and staff on progress of tasks. Created Statements of Work for subcontractors 	

A.2.1.4 Project/Account Manager Resume - Steve Grimshaw

Steve Grimshaw, PMP

Project Manager

Experience Summary

Mr. Steve Grimshaw has effective managerial and professional skills with 29 years of IT experience. He is an effective communicator and has 24 years of Medicaid Systems implementation knowledge and experience. He has more than 18 years of proven project management/leadership experience with both small and large-scale Medicaid projects. In addition to his project management credentials, Mr. Grimshaw has knowledge of analytic problems and the semantic content of Medicaid and HHS data. He has gained this knowledge by working directly with customers in several states in the development of solutions for business problems. Some of Mr. Grimshaw's key projects have included the State of Missouri (MMIS Systems Manager, responsible for many systems enhancements including Pharmacy, POS, and DUR), the State of Oklahoma (MMIS Systems Manager, responsible for managing the Managed Care implementation), State of Kansas (Provider and Recipient Team Lead), the District of Columbia (MMIS Systems Manager) and the State of California (MIS/DSS Project Manager, responsible for the day-to-day operations, supervision and management of the scope of work under the Department of Health Care Services Management Information System / Decision Support System MIS/DSS Contract). Mr. Grimshaw brings deep technical and subject matter expertise to the project and has extensive experience in managing subcontractors. Mr. Grimshaw's proven ability to work effectively with clients, managers and analysts is the key element in the success of his projects.

Work Experience

2009-Present

Project Manager-California Department of Health Care Services Management Information System/Decision Support System Project, Optum Government Solutions, California

As Project Manager, Mr. Grimshaw is the senior person responsible for the day-to-day operations / supervision / management of the scope of work under the Contract. Mr. Grimshaw:

- Works closely with and serves as the single point-of-contact to the California DHCS MIS/DSS Project Manager to provide for the success of the project
- Directs activities: planning the work and working the plan; managing Optum Government Solutions, Inc. and subcontractor resources; issue resolution/decision making; pre-implementation reviews; detailed schedule and budget planning activities; defining specifications and requirements; arranging for, directing and managing Optum Government Solutions, Inc. interests in project meetings; defining and negotiating acceptance criteria; project implementation coordination; establishing and maintaining communications between Optum Government Solutions, Inc., its subcontractors and the state; initiating and managing regularly scheduled and ad hoc project reviews; establishing and maintaining a project change control process; manage and incorporate changes; timely identification/resolution of issues; completing project deliverables; defining and providing training
- Manages the process that produces defined deliverables, using available resources within the estimated timeframe
- Leads the development (including subcontractors), nurturing effective project teams and organizational relationships
- Defines and manages the Change Management process.

2007-2009

Assistant Project Manager-California Department of Health Care Services Management

Information System/Decision Support System Project, Optum Government Solutions (formally Bull Services), California

As Project Manager, Mr. Grimshaw is the senior person responsible for the day-to-day operations / supervision / management of the scope of work under the Contract. Mr. Grimshaw:

- Managed, planned, directed, and supervised the development and implementation of the MIS/DSS
- Assisted the Project Manager with administrative duties related to the project (i.e., tracking metrics such as milestones, issues, architectural adherence, resource utilization, testing, documentation, communicating progress, etc.) and worked closely with the DHS MIS/DSS Project
- Directed activities: planned the work and working the plan; managed Optum Government Solutions, Inc. and subcontractor resources; issued resolution/decision making; pre-implementation reviews; detailed schedule and budget planning activities; defined specifications and requirements; arranged for, directed and managed Optum Government Solutions, Inc. interests in project meetings; defined and negotiated acceptance criteria; project implementation coordination; established and maintained communications between Optum Government Solutions, Inc., its subcontractors and the state; initiated and managed regularly scheduled and ad hoc project reviews; established and maintained a project change control process; managed and incorporated changes; timely identification/resolution of issues; completed project deliverables; defined and provided training

2006-2007

Systems Manager – DC MMIS Fiscal Agent, ACS State Healthcare, Washington, D.C

- Planned and organized all systems -related activities (on-site, and off-site) to ensure that the District of Columbia's Medicaid Management Information System (MMIS) processes claims accurately and in a timely manner, and that all online and batch jobs perform as expected and in accordance with contractual obligations
- Provided leadership for the systems staff and project managers in direction, methods, and technology
- Coordinated work efforts between the Medicaid Assistance Administration and ACS

2005-2006

Program Manager – Health and Human Services Practice, Bull Services, Washington, D.C.

- Project Manager of the Product Demonstration project
- Responsible for managing and tracking the development of demonstration software for the sales staff
- Assisted in the evaluation of Medicaid Data Warehouse/DSS RFPs, proposal development, and presales activities

2002-2005

Software Engineering Manager -Business Development, Unisys Corporation, Virginia

- Using my technical and subject matter knowledge in healthcare and Medicaid arena, I assisted in the evaluations of RFP and RFIs; in the development of product solutions, gap analysis, proposal writing and work plan development, including schedules, statement of work, task orders and resource assignments

- Led a matrix organization of project managers in the development of work schedules and resource allocations (Build of Effort)
- Developed Statement of Works for internal and external organizations.
- Developed document repositories that were accessible through Web browser interfaces to project and management staff

1997-2002

Technical Manager II, Verizon, Missouri

- Planned and organized all systems -related activities (on-site, off-site, and off-shore) to ensure that the Missouri's Medicaid Management Information System (MMIS) processes claims accurately and in a timely manner, and that all online and batch jobs perform as expected and in accordance with contractual obligations
- Coordinated work efforts between the Division of Medical Services, Division of Aging and the Division of Data Processing for the Department of Social Services and Department of Health. Demonstrate strong technical leadership to the customer. I also lead the preparation of the technical solution and proposal for the Missouri Re-bid in 1999 for which I received Verizon's President Circle award (1 of 13 people out of 14,000 employees)
- In addition to managing the on-going operations of the systems department, I also managed the implementation of ten enhancements to the MMIS between 1999 and 2002 generating \$21.9 million in revenue;

1995-1997

Systems Manager, Unisys, Oklahoma

- Projects included the systems development and implementation of Oklahoma's statewide rural managed care program
- Developed project work plans using Microsoft Project for Maintenance and Modification team
- Supervised two project managers that managed the day-to-day activities of Systems Maintenance and Modification, LAN Support, and Production Control teams, a staff of more than 30
- Tracked actual to estimated work schedules and produced reports for both management and staff on progress of tasks
- Created Statements of Work for subcontractors

1992-1995

Senior Systems Engineer, Verizon, Florida

- Provided senior technical support during the evaluation of information systems
- Formulated conceptual solutions to complex technical problems, documenting recommendations, developing standards, and verifying results
- Evaluated hardware and software products and recommended systems for implementation consistent with healthcare RFPs
- Assisted with various project start-ups in the following capacities:

Project Lead, Kansas Medicaid Project

- Led Project Managers and assisted in the development of the requirement validation document for the provider, recipient, and TPL subsystems. Developed Project Work plans using Microsoft Project and tracked progress. Weekly status reports were created and submitted to management identifying performance to schedule.

Temporary assignment in Topeka, Kansas

Data Warehousing Manager

- Blue Cross Blue Shield of Maryland Project - Led and assisted in the implementation design of GMIS' ICAS and Provider Insight products. Temporary assignment in Baltimore, Maryland

Decomposition Manager

- Medicare Transaction System Project - Directed project planning activities for decomposition of the Medicare Part B systems; coordinated the decomposition efforts of seven systems engineers and analysts.

1989-1992

Systems Supervisor, Verizon/GTE, Missouri

- Ensured accurate and timely development, implementation, maintenance, modification, and production of the Missouri MMIS by supervising and directing the daily activities of two project managers who led five to seven programmer/analysts
- Led the design, programming, testing, and implementation of the Pharmacy POS enhancement, which included real-time adjudication of pharmacy claims, eligibility inquiries, and drug utilization reviews; Project was implemented one month early and under budget
- Led the system testing of the new Missouri Claims Processing Subsystem enhancements, including supervising the running of test cycles, assigning trouble reports, and obtaining state acceptance of the final system test; Oversaw the development and implementation of the Peer Review Organization (PRO) enhancement to the Missouri MMIS

1988-1989

Senior Programmer Analyst, Verizon/GTE, Missouri

- Designed, programmed, tested, implemented, and provided user training for a system enhancement to allow provider representatives to select claims on the mainframe for downloading to a personal computer so claims could be reviewed at the provider site
- Assisted in the implementation of the Missouri Medicaid account by recompiling the system and making CICS changes for medical criteria online screens.

1984-1988

Programmer Analyst, State of Missouri, Missouri

- Worked for the Missouri State Lottery Commission from 1985 to 1988 on administrative Accounting systems and instant gaming software; Work for the Missouri State Office of Administration from 1984 to 1985 on Payroll and Accounting Systems.

Education

Bachelor's Degree, Computer Science Minor – Accounting, Southeast Missouri State University, US-Missouri-Cape Girardeau

PMP Expires June 27 2015 (Original Grant Date is June 28, 2008)
PMP Number is 535387

A.2.1.5 Project/Account Manager Qualifications – Mr. Steven Grimshaw

Required Experience and Qualifications	Meets or Exceeds Requirement	Description of Compliance
5 (or 9) Years of experience implementing health care solutions in environments similar to AME	Yes	Projects shown on Mr. Grimshaw's resume confirm a total of 24 years of experience similar to managing the AR DSS implementation. Mr. Grimshaw has extensive experience in both DSS and MMIS implementations. This combination is an excellent background to manage the DSS implementation and coordinate with the Core system development.
Communication Skills General	Yes	Mr. Grimshaw is an excellent communicator who has both experience and education that support this requirement. As CA project manager he has proven himself to be excellent in communication with the project team and State staff.
Writing	Yes	In the projects listed on his resume, Mr. Grimshaw was responsible for writing status reports, project summaries, emails, etc.
Small group facilitation	Yes	Mr. Grimshaw leads facilitated sessions as part of the California project listed. In his past experience he has facilitated numerous small groups including kick off meetings, Joint Application Development (JAD) sessions, design sessions, and project status sessions.
Presentation skills	Yes	Mr. Grimshaw has given numerous presentations as part of the experience described in his resume. He has prepared and delivered both internal and external presentations. These included presentations to project staff, management, State project managers, State executives, customers, and more. He regularly developed Power Point presentations, videos, slides and other presentation support materials.
Primary work location will be the Contractor's DDI facility	Yes	Upon project award
Will work on Project full time	Yes	Will be full time for DDI phases of the project.

A.2.2 Design, Development and Implementation (DDI) Key Personnel

A.2.2.1 DDI Manager – Jack Swearingen

We propose Mr. Jack Swearingen as the DDI manager. Mr. Swearingen has more than 20 years of experience in Data Warehousing and Operational Decision Support, spanning the marketing, finance, product research, sales, retail, health care delivery and health insurance industries. He has extensive experience scheduling resources. He has experience managing data warehouse implementations including the design phase against an approved work plan and schedule. He is deeply experienced in risk management and mitigation in data warehouse development projects. As a Senior Data Warehouse Architect, he has led numerous information architecture efforts

with diverse experience as a Data Warehouse Architect, Data / Metadata Architect, Database Administrator, Unix System Administrator, and Decision Support Analyst. He is experienced in configuration control and management of development activities to accomplish configuration management and tracking. Mr. Swearingen is experienced at giving reports in written and verbal formats. He is excellent at creating effective documents and PowerPoint presentations to support reporting.

A.2.2.2 DDI Manager Key Personnel Profile Summary - Jack Swearingen

DDI Manager Jack Swearingen Key Personnel Profile Summary			
Professional References			
	Reference 1	Reference 2	Reference 3
Contact Name	Susan Hanley -- Dir/VP, Talent Software Solutions	Peter Young -- Dir/VP, Coherent Solutions	Mitch Talbot -- Dir/VP, RBA Consulting
Phone Number	(612) 616-6503	612) 242-9085	612-207-6162
Email Address	Susan.Hanley@talentemail.com	PeterYoung@coherentsolutions.com	mitch.talbot@rbaconsulting.com
Company Name	Talent Corporation	Coherent Solutions	RBA Consulting
Mailing Address	5353 Wayzata Blvd #200, Minneapolis, MN 55416	1600 Utica Ave S #120 Minneapolis, MN 55416	100 W Lake St, Wayzata, MN 55391

A.2.2.3 DDI Manager Education and Training - Jack Swearingen

DDI Manager Jack Swearingen Key Personnel Profile Summary		
Education and Training		
Education and Training	Meets Requirement	Relevance to Project Duties and Obligations
Bachelor Degree	Yes	BA in Economics, Mr. Swearingen's education provides a background for understanding the business issues related to the technical implementation
Professional Training and Certifications	Yes	Oracle Masters Training, EDS Systems Engineering Development. Also received training in core Data Warehouse Infrastructure components including Informatica Powercenter, ERwin, Ambeo Usage Tracker, Trillium, Unix System Administration, Open Systems Architecture, and dimensional modeling design and implementation. The Optum AME DSS will be implemented in Oracle. Mr. Swearingen's experience and training in Oracle is valuable in his role as DDI Manger. The AME DSS implementation also uses Informatica, Erwin, and dimensional modeling. Mr. Swearingen's training in these tools will also support development.

A.2.2.4 DDI Manager Relevant Experience - Jack Swearingen

DDI Manager Jack Swearingen Key Personnel Profile Summary	
Relevant Experience	
Date	8/2011 - Present
Role	Director, Data Fabric Architecture
Project Name	United Health Group
Contact Information	Jay Syverson, 952/833-6415 jay.syverson@optum.com 12125 Technology Drive Eden Prairie, MN 55344
Description of Duties:	
<ul style="list-style-type: none"> Leading a Big Data architecture initiative to service United Health Group and the healthcare community at large. Includes data intake, data storage, data enrichment, data integration, data quality, data de-identification, data security and data provisioning through the use of common services. The environment offers a single data source for data analytics systems, a central place for common value added activities and a multi domain view of data that supports all channels. 	
Date	11/2010 - 7/2011
Role	Database Architect
Project Name	Enterprise Clinical ODS
Contact Information	Jay Syverson 952/833-6415 jay.syverson@optum.com 12125 Technology Drive Eden Prairie, MN 55344
Description of Duties:	
<ul style="list-style-type: none"> Led a three member architecture team on a phase 2 Enterprise Clinical ODS, built to integrate clinical events across Government and Commercial entities and evolve the Phase 1 OptumHealth ODS environment into a Clinical Corporate Reporting asset. Absorbed the Ovations BRD reporting requirements. Conducted an ECODS fit assessment and offered preliminary architectural recommendations. Orchestrated and delivered the solutions logical and physical models. Deployed the solution into production over nine deployments cycles with final database size over 6 terabytes. Designed a security provisioning process, supporting a manager and business owner approval model. This multi-level approval process supported documented access to specific data within the environment and supported HIPPA regulatory compliance. Integrated, packaged and deployed Oracle Virtual Private Database (VPD) and security on-boarding processes in support of the row and object level security model. Evaluated and provided preliminary feedback on adoption of Oracle Identity Management (OIM) in support of the existing security model. 	
Date	10/2009 - 10/2010
Role	Domain Architect
Project Name	Medica UNET/COSMOS Integration Initiative
Contact Information	Susan Hanley -- Dir/VP, Talent Software Solutions Talent Software Solutions, (612) 616-6503

DDI Manager Jack Swearingen Key Personnel Profile Summary	
Relevant Experience	
	Susan.Hanley@talentemail.com 5353 Wayzata Blvd #200, Minneapolis, MN 55416
Description of Duties:	
<ul style="list-style-type: none"> • Developed conceptual/logical/physical modeling of two complex problem domains – product and provider. • Profile data and navigate complex concepts within the NDB operational model. • Conformed final domain models to Medica’s existing data architecture and standards to align with other domains that were already complete. 	
Date	9/2008 - 9/2009
Role	Lead Architect
Project Name	Optum ODS
Contact Information	Susan Hanley -- Dir/VP, Talent Software Solutions
Description of Duties:	
<ul style="list-style-type: none"> • Integrating the entire scope of clinical experience with claims data to deliver a comprehensive value story to clients. Market retention and increased market share were drivers. • Orchestrated and delivered the solutions conceptual/logical/physical models. • Collaborated across a diverse and geographically disperse team in support of a 24x7 development and QA test cycle, making sure architecture and design principles remained intact. • Supported UAT to insure that system outputs met the business requirement. 	
Date	7/2007 - 8/2008
Role	Principal Data Warehouse Architect
Project Name	Medica’s Operational Data Store (ODS)
Contact Information	Susan Hanley -- Dir/VP, Talent Software Solutions (612) 616-6503 Susan.Hanley@talentemail.com 5353 Wayzata Blvd #200, Minneapolis, MN 55416
Description of Duties:	
<ul style="list-style-type: none"> • Architect for Medica’s Operational Data Store (ODS). Medica’s ODS supports Web-base and IVR portal inquiries via an X12 Business to Business transaction model. • Designed within HIPPPAA privacy guidelines and constraints. • Responsibilities included the identification of business requirements, analysis of source data in reference to requirements, completion of target ODS data architecture, and assistance with ETL design complexities associated with health care related data. • Implemented physical aspects of model, tuning transaction volumes to between 500-600 transaction/second. 	
Date	11/2004 - 6/2007
Role	Data Warehouse Architect
Project Name	Select Comfort's Phase 1 Data Warehouse
Contact Information	Susan Hanley -- Dir/VP, Talent Software Solutions 612) 616-6503, Susan.Hanley@talentemail.com 5353 Wayzata Blvd #200, Minneapolis, MN 55416
Description of Duties:	

DDI Manager Jack Swearingen Key Personnel Profile Summary

Relevant Experience

- Analyzed requirements; designed and implemented Select Comfort's core Data Warehouse Infrastructure.
- Completed the logical and physical database design, completed ETL design, created Unit and Integration test cases, and oversaw testing of Infrastructure components.
- Created the Production rollout schedule.
- Oversaw the successful implementation of the environment into Production. The environment consisted of Oracle 10 RAC and Redhat Linux on Dell Servers.

A.2.2.5 DDI Manager Resume – Jack Swearingen

Jack Swearingen

Principal Architect

Experience Summary

Mr. Jack Swearingen has more than 20 years of experience in Data Warehousing and Operational Decision Support, spanning the marketing, finance, product research, sales, retail, health care delivery and health insurance industries. As Senior Architect, he has led numerous information architecture efforts with diverse experience as a Data Warehouse Architect, Data / Metadata Architect, Database Administrator, Unix System Administrator, and Decision Support Analyst. Mr. Swearingen is a past Data Warehouse Practice Manager for Talent where he provided the organization "best practices" knowledge in Data Management. He is currently acting as Director, Data Fabric Architecture for Optum Data Management, where he is collaborating across the organization to accelerate the delivery of data to consumers.

Mr. Swearingen has been Principal Architect on numerous full life cycle Data Warehouse / Data Mart / Operational Data Store development projects. His personal experience includes numerous roles in the data warehousing life cycle, including project management, requirements gathering and analysis, architecture, design, data quality management, ETL design and development, dimensional modeling, physical database implementation, database administration, reporting, SQL performance tuning, architecture optimization, and metadata architecture and design. He has completed tool assessments in the ETL, ad hoc query and reporting, data warehouse management, hardware and CASE tool markets. Mr. Swearingen has spent several years managing the assets he has architected and deployed, offering him an experiential 'best practices' knowledge base. This breadth of experience and his understanding of how core infrastructure components interact allow him a unique solutioning capability that is difficult to find.

Some of the clients Mr. Swearingen has worked with include United Health Care, Allina Health System, Medica, Buick Motors Division, The GM Credit Card, General Motors Finance, Select Comfort, Agrilience (A Division of LandoLakes) and Best Buy. Jack worked for Electronic Data Systems (EDS) as a Principal Data Warehouse Architect supporting General Motors Data Warehouse and Business Intelligence initiatives.

Work Experience

2011 – Present: Director, Data Fabric Architecture, leading a Big Data architecture initiative to service United Health Group and the healthcare community at large. Includes data intake, data storage, data enrichment, data integration, data quality, data de-identification, data security and data provisioning through the use of common services. The environment offers a single data source for data analytics systems, a central place for common value added activities and a multi domain view of data that supports all channels.

2010 – 2011: Led a three member architecture team on a phase 2 Enterprise Clinical ODS built to integrate clinical events across Government and Commercial entities and evolve the phase 1 OptumHealth ODS environment into a Clinical Corporate Reporting asset. Absorbed the Ovations BRD reporting requirements. Conducted an ECODS fit assessment and offered preliminary architectural recommendations. Orchestrated and delivered the solutions logical and physical models. Deployed the solution into production over nine deployments cycles with final database size over 6 terabytes. Designed a security provisioning process, supporting a manager and business owner approval model. This multi-level approval process supported documented access to specific data within the environment and supported HIPPA regulatory compliance. Integrated, packaged and deployed Oracle Virtual Private Database (VPD) and security on-boarding processes in support of the row and object level security model. Evaluated and provided preliminary feedback on adoption of Oracle Identity Management (OIM) in support of the existing security model.

2009 – 2010: Domain architect for Medica's UNET/COSMOS integration initiative, brought in to support the conceptual/logical/physical modeling of two complex problem domains – product and provider. Worked with NDB resources to profile data and navigate complex concepts within the NDB operational model. Conformed final domain models to Medica's existing data architecture and standards to align with other domains that were already complete.

2008 – 2009: Lead Architect on OptumHealth's ODS Phase 1 initiative, built to demonstrate the value and outcomes that clinical management programs have delivered to consumers over time. The problem set included integrating the entire scope of clinical experience with claims data to deliver a comprehensive value story to clients. Market retention and increased market share were drivers. Orchestrated and delivered the solutions conceptual/logical/physical models. Collaborated across a diverse and geographically disperse team in support of a 24x7 development and QA test cycle, making sure architecture and design principles remained intact. Supported UAT to insure that system outputs met the business requirement.

2007 – 2008: Principal Data Warehouse Architect for Medica's Operational Data Store (ODS). Medica's ODS supports Web-base and IVR portal inquiries via an X12 Business to Business transaction model. It does so within HIPPA privacy guidelines and constraints. Responsibilities included the identification of business requirements, analysis of source data in reference to requirements, completion of target ODS data architecture, and assistance with ETL design complexities associated with health care related data. Implemented physical aspects of model, tuning transaction volumes to between 500-600 transaction/second.

2004 – 2007: Data Warehouse Architect on Select Comfort's Phase 1 Data Warehouse initiative, analyzed requirements, designed and implemented Select Comfort's core Data Warehouse Infrastructure. Completed the logical and physical database design, completed ETL design, created Unit and Integration test cases, and oversaw testing of Infrastructure components. Created the Production rollout schedule. Oversaw the successful implementation of the environment into Production. The environment consisted of Oracle 10 RAC and Redhat Linux on Dell Servers.

2004: Data Warehouse Architect on Select Comforts Data Warehouse roadmap initiative. Interviewed 120 business users for information needs across eight departments. Identified high impact information initiatives, estimating implementation cost versus financial saving/ revenue impacts. Weighted all initiatives on a Return on Investment basis to prioritize information objectives over a five-year period.

2003 – 2004: Chief Data Warehouse Architect, responsible for the design, development and implementation of Agriliance's Enterprise Data Warehouse. The environment consolidates sales, cost and product movement transactions across multiple divisions to provide an accurate and complete view of its financials. Recommended a toolset required to successfully implement. Assisted with toolset acquisition. Verified requirements, completed logical and physical database design, completed metadata model design, completed ETL design, created unit and integration test cases and oversaw testing of infrastructure components. Created the production roll-out schedule. Oversaw the successful implementation of the environment into production.

2002 – 2003: Chief Data Warehouse Architect responsible for the design, development and implementation of an industry wide Point of Sale data warehouse, containing data from Agriliance and competitor retail store fronts. Allowed for competitive analysis by manufacturer, retailer store, product, and customer demographics. Gathered analysis requirements, completed logical and physical database design, created and implemented an access security model, led ETL design, and oversaw unit and integration testing. Oversaw the successful roll-out of the environment into production.

2002: Was responsible for an assessment of Best Buy's Data Warehouse/CRM environment. Documented all interfaces within the environment, assessing low latency and high availability requirements of each interface. Coordinated the benchmarking of transaction characteristics for each environment. Benchmarked the current size and growth expectations for the purpose of assessing scalability requirements. Defined total cost of ownership calculation and assigned cost component of current environment to the owners of each component. Provided preliminary recommendations based assessment of existing environment.

1999 – 2002: Principal Data Warehouse Architect for Medicaid's Enterprise Data Warehouse. Responsible for interviewing users for business requirements. Designed and automated process to capture inputs into the data discovery process and compressed extensive data discovery timelines. Defined source data extract requirements for data extraction and movement. Designed data quality assurance processes to insure the integrity of data received from source. Designed and implemented Allina's health plan data warehouse, conforming dimensions across subject areas. Was actively involved in the physical implementation of Allina's health plan data warehouse to insure that requirements were met. Architected Medicaid's metadata model.

1997 – 1999: Project Lead / Principal Integration Architect responsible for integrating clinic, hospital, and plan data to provide an enterprise view of Allina Health System. Led requirements gathering interviews with senior-level management to identify high-level strategic initiatives within Allina. Led requirements gathering interviews with an integration work group to operationalize high-level strategic initiatives. Mapped operational requirements to source systems. Wrote source system extract requirements. Conducted source system data discovery. Designed a clinic, hospital, and plan integration process allowing the integration of patients within and across each source system. Produced an Oracle reporting Data Mart used for delivering integration outputs to senior-level management and work group participants.

1992 – 1997: Principal Data Warehouse Architect for GM Credit Card's Data Warehouse/CRM environment. Led data warehouse software tool technical evaluations based on open systems architecture principles and customer requirements. Assisted with ETL design and sourcing strategies. Led Data Warehouse and Data Mart modeling efforts and physically implemented models. Implemented client/server interfaces into the warehouse.

1990 – 1992: Research Analyst at Buick Motors Division. Utilized decision support tools with internal and external data sources to support the needs of Buick market analysts and product managers. Programmed ad hoc requests against corporate marketing databases. Extracted and reported data from external marketing databases. Analyzed and mapped consumer demographics and psychographics. Maintained and enhanced Buick's statistical profile libraries. Oversaw the production and analysis of Buick's Buyer Profile book. Provided Buick's ad agency with competitor profiles and GIS services.

Education

Bachelor of Arts, Economics, St. John's University
Oracle DBA masters curriculum
EDS Systems Engineering Development program

Certifications

Training and extensive experience with core Data Warehouse Infrastructure components including Informatica Powercenter, ERwin, Ambeo Usage Tracker, Trillium, Unix System Administration, Open Systems Architecture, and dimensional modeling design and implementation.

A.2.2.6 DDI Manager Qualifications – Jack Swearingen

Required Experience and Qualifications	Meets Requirement	Description of Compliance
5 Years of experience implementing health care solutions in environments similar to AME	Yes	Mr. Swearingen has more than 20 years of experience in data warehousing and operational decision support. He has 5 years of experience in implementing solutions in health care environments as well as experience in all the phases and content of DDI in numerous projects.
Communication Skills General	Yes	Mr. Swearingen is an excellent communicator who has both experience and education that support this requirement. As Data Warehouse Practice Manager he has proven himself to be excellent in communication with several project teams and staff.
Writing	Yes	In the projects listed in his resume, Mr. Swearingen was responsible for writing status reports, project summaries, emails, etc.
Small group facilitation	Yes	In his past experience Jack has facilitated numerous small groups including kick off meetings, Joint Application Development (JAD) sessions, design sessions, and project status sessions.
Presentation skills	Yes	Mr. Swearingen has given numerous presentations as part of the experience described below and in his resume. He has prepared and delivered both internal and external presentations. These included presentations to project staff, management, customer project managers, executives, and more. Mr. Swearingen has regularly developed PowerPoint presentations, videos, slides and other presentation support materials.
Primary work location will be the Contractor's DDI facility	Yes	Upon project award
Will work on Project full time	Yes	Will be full time during DDI

A.2.3 Technical Solution Manager - Paul Claseman

We propose Mr. Paul Claseman as the technical solution manager for the AME DSS project. Mr. Claseman has more than 20 years of experience in providing technical and analytic solutions with a focus on health care solutions. He is deeply knowledgeable in HEDIS, ICD-10, HIE, and Web-based solutions. Mr. Claseman’s experience in developing technical and analytic solutions across administrative and clinical data brings the right mix of skills for the State’s strategic directions. Recently, Mr. Claseman was the technical lead and data architect for a Web based solution for Medicare reporting. He managed the United Healthcare HEDIS reporting process. He is currently working on building a data warehouse for Optum to support HIE data analysis. Mr. Claseman has a track record of creating efficiencies and value through reporting and information systems. He has demonstrated success and experience in key responsibilities of the Technical Manager position.

A.2.3.1 Technical Solution Manager Key Personnel Profile Summary – Paul Claseman

Technical Solution Manager Paul Claseman Key Personnel Profile Summary			
Professional References			
	Reference 1	Reference 2	Reference 3
Contact Name	Prasad Muppirala, Dir/VP	Josie Pettygrove, Dir/VP	Jose Rojas, Dir/VP
Phone Number	612-819-2359	612-207-3907	763-614-8447
Email Address	Prasad.muppirala@gmail.com	jhpettygrove@yahoo.com	joserojasathome@gmail.com
Company Name	Red Brick Health	Red Brick Health	Optum Health
Mailing Address	13807 Firelight Way, Apple Valley, MN 55124	150 N. Michigan Ave Suite 2800 Chicago, IL 60601	4336 6th Street NE Columbia Heights, MN 55421

A.2.3.2 Technical Solution Manager Education and Training - Paul Claseman

Technical Solution Manager Paul Claseman Key Personnel Profile Summary		
Education and Training		
Education and Training	Meets Requirement	Relevance to Project Duties and Obligations
Bachelor Degree or 9 Years of Experience	Yes	Bachelor and Master degrees in mathematics and statistics: Mr. Claseman's education in mathematics and statistics provide an excellent educational background for providing technical management and for understanding Arkansas analytic issues.
Professional Training and Certifications	Yes	Oracle, PL/SQL, Business Objects, DataStage, Mercator, MS Access, SQL

A.2.3.3 Technical Solution Manager Relevant Experience – Paul Claseman

Technical Solution Manager Paul Claseman Key Personnel Profile Summary	
Relevant Experience	
Date	11/2010 - Present
Role	Data Architect
Project Name	OptumInsight
Contact Information	Jack Swearingen 763-797-4310 jack.swearingen@optum.com 6300 Olson Memorial Hwy Golden Valley, MN 55427

Technical Solution Manager Paul Claseman Key Personnel Profile Summary	
Relevant Experience	
<p>Description of Duties:</p> <ul style="list-style-type: none"> • Worked as a technical lead on a project implementing a data mart to support the Ingenix StepWise underwriting application • Responsible for the overall success of the project in terms of delivering quality, maintainability and usability within the timelines set forth by the client • Specifically responsible for project management, data architecture, data modeling and ETL architecture • Conducted an ICD-10 system remediation assessment for a Medicaid/Medicare payer • Created a high level architecture for a national claim data warehouse • Used Tableau software to build a tool kit for medical cost analytics • Architected a solution for proactive management of HEDIS rates and Stars ratings 	
Date	01/2007 - 11/2010
Role	Data Architect
Project Name	RedBrick Health
Contact Information	Prasad Muppirala, Dir/VP 612-819-2359 Prasad.muppirala@gmail.com 13807 Firelight Way, Apple Valley, MN 55124
<p>Description of Duties:</p> <ul style="list-style-type: none"> • Developed the logical and physical data model for both the transactional and the warehouse databases and served as the development DBA • Created processes for ensuring data model and data deployment across multiple environments • Developed processes and code to install new clients • Worked with Web developers, business owners and reporting constituents to ensure that the data flow and collection met the needs of the company • Worked hands on in developing ETL and reporting solutions and led the architecture and frameworks in these areas • Implemented a reporting solution utilizing ad hoc reporting, static reports, drillable cubes and dashboards • Managed a team of developers and analysts responsible for developing ETL code, data warehouse development, production data support and information assurance • Analyzed systems and processes to implement efficiencies, cost savings and quality improvement 	
Date	04/2000 – 01/2007
Role	Database Developer, Consultant, Analyst, Data Services Manager
Project Name	Definity Health
Contact Information	Frank Orr 952/833-6418 x36418 frank.orr@optum.com 12125 Technology Drive Eden Prairie, MN 55344
<p>Description of Duties:</p> <ul style="list-style-type: none"> • Involved in a variety of projects concerning application development with an emphasis on database 	

Technical Solution Manager Paul Claseman Key Personnel Profile Summary	
Relevant Experience	
	<p>development.</p> <ul style="list-style-type: none"> • Performed logical and physical modeling of health care focused databases in both transactional and dimensional models. • Developed ETL code to feed a data warehouse. • Worked with the reporting team and reporting applications to build a system to support client and operational reporting. • Developed standalone applications to support data entry of client information. • Consulted across the company on a variety of projects involving health care data analysis. • Managed a team responsible for developing ETL code, data warehouse development and information assurance. • Managed the team supporting eligibility and claims data feeds. • Built applications and processes for member messaging and consumer activation. • In depth understanding of health care data • Oracle, PL/SQL, Business Objects, DataStage, Mercator, MS Access, SQL

A.2.3.4 Technical Solution Manager Resume - Paul Claseman

Paul Claseman

Data Architect Consultant

Work Experience

2010-Present

Data Architect Consultant, OptumInsight

HealthNow

- Worked as a technical lead on a project implementing a data mart to support the Ingenix StepWise underwriting application
- Responsible for the overall success of the project in terms of delivering quality, maintainability and usability within the timelines set forth by the client
- Specifically responsible for project management, data architecture, data modeling and ETL architecture
- Technologies: SQL Server, DB2, Sybase, Informatica

Other

- Conducted an ICD-10 system remediation assessment for a Medicaid/Medicare payer
- Created a high level architecture for a national claim data warehouse
- Used Tableau software to build a tool kit for medical cost analytics
- Architected a solution for proactive management of HEDIS rates and Stars ratings

2007-2010

Data Architect, Data Services Manager, RedBrick Health

- Developed the logical and physical data model for both the transactional and the warehouse databases and served as the development DBA
- Created processes for ensuring data model and data deployment across multiple environments
- Developed processes and code to install new clients
- Worked with Web developers, business owners and reporting constituents to ensure that the data flow and collection met the needs of the company
- Worked hands on in developing ETL and reporting solutions and led the architecture and frameworks in these areas
- Implemented a reporting solution utilizing ad hoc reporting, static reports, drillable cubes and dashboards
- Managed a team of developers and analysts responsible for developing ETL code, data warehouse development, production data support and information assurance
- Analyzed systems and processes to implement efficiencies, cost savings and quality improvement
- Technologies:
 - MySQL, Pentaho Data Integration (Kettle), Pentaho Business Intelligence, SQL

2000-2007

**Database Developer, Consultant, Analyst, Data Services Manager, Definity Health
(Acquired by UnitedHealth Group in 2004)**

- Involved in a variety of projects concerning application development with an emphasis on database development
- Performed logical and physical modeling of health care focused databases in both transactional and dimensional models
- Developed ETL code to feed a data warehouse
- Worked with the reporting team and reporting applications to build a system to support client and operational reporting
- Developed standalone applications to support data entry of client information
- Consulted across the company on a variety of projects involving health care data analysis
- Managed a team responsible for developing ETL code, data warehouse development and information assurance
- Managed the team supporting eligibility and claims data feeds
- Built applications and processes for member messaging and consumer activation
- Skills:
 - Proactively identify and resolve issues
 - Defining functionality requirements and design
 - Ensure that customer needs are being met
 - Lead and mentor a team
 - Built relationships across the company to ensure a positive working environment
 - Develop quality applications that met the needs of our customers

- Create solutions and perform analysis to support client research needs
- In depth understanding of health care data
- Technologies:
 - Oracle, PL/SQL, Business Objects, DataStage, Mercator, MS Access, SQL

1998-2000

Program Manager, Ingenix (UnitedHealth Group)

- Managed the delivery and overall project life cycle of HEDIS reporting for United Health Group plans.
- Reengineered processes and implemented technologies to help turn a struggling HEDIS project into an efficient and successful one.
- Skills:
 - Overall project management including a core team and cross functional teams
 - Effectively overcome crises and roadblocks during project implementation
 - Work with customers to ensure that their needs are being met

1998-1998

Technical Analyst, UnitedHealthcare

- Served as technical consultant to ensure that the systems in place will meet the needs and requirements of the health plans.

1996-1998

IS Manager, UnitedHealthcare

- Led various software development projects through the full application development life cycle
- Involved in all phases of the application development process including: requirements gathering, systems architecture, database design, application design, development and testing
- Responsible for all facets of project management including: project initiation, project definition, tracking and status reporting
- Lead a team responsible for maintaining an eligibility database (DB2) that contained 9 million members. The team is responsible for code (perl, C) that loads the database on a daily, weekly and monthly basis
- As a leader :
 - Developed systems and processes to improve workflow and efficiency
 - Proactively identified and resolved issues
 - Created a team environment that partnered with the business
 - Encouraged staff to creatively solve problems and work towards future solutions
 - Created an environment of excellent customer service and a commitment to quality
- Technologies:
 - MS Access, Visual Basic, DB2

1995-1996

Software Engineer, UnitedHealthcare

- Developed reporting tools in MS Access
- Developed an automated customer reporting process using MS Access and DB2 6000. The reports generated from this application have received much praise from our customers when compared to the industry standards
- Developed an automated daily reporting system that sends faxes through a fax server to our customers in a timely basis

1994-1995

Research Specialist, Questar Data Systems

- Managed and analyzed data gathered during various survey administrations
- Programmed Questar’s proprietary software to develop reports describing data
- Managed and maintained data using PC software (Excel and MS Access) and by writing UNIX scripts on SUN workstations
- Communicated with internal and external clients on a variety of technical issues

Education

MS in Statistics, University of Minnesota
BA in Mathematics, St Cloud State U

A.2.3.5 Technical Solution Manager Qualifications – Paul Claseman

Required Experience and Qualifications	Meets Requirement	Description of compliance
5 (to 9) years of experience implementing health care solutions in environments similar to AME	Yes	Mr. Claseman has more than 20 years of experience in technical and data architecture with a focus on health care. He has built systems that capture both administrative and clinical data. He has experience with ICD-10, HEDIS, Medicare and data warehousing
Expert Knowledge of Optum Solution	Yes	Mr. Claseman is deeply knowledgeable in the wide range of Optum solutions including the DSS solution proposed for AME.
Experience implementing solutions in an integrated environment, employing SOA, and intelligent business routing	Yes	Mr. Claseman has more than 20 years of experience in technical and data architecture with a focus on health care. He has built data systems based on SOA approaches that use Web based tools. He has built systems that capture both administrative and clinical data. He has experience with ICD-10, HEDIS, Medicare and data warehousing. He has built systems that use intelligent routing.

Required Experience and Qualifications	Meets Requirement	Description of compliance
Primary work location will be the Contractor's DDI facility	Yes	Upon project award
Will work on Project full time	Yes	

A.2.4 Business Solution Manager - Steve Quaal

We propose Mr. Steve Quaal as the business solution manager for the AME DSS project. Mr. Quaal is an excellent candidate for the position and is currently leading significant business analytics efforts for our California customer. He has more than 27 years of business intelligence, data analysis, data warehouse development and management experience in both public healthcare and private sector organizations. He has more than thirteen years of experience in DSS implementations in six state Medicaid agencies (California, Illinois, Iowa, Minnesota, New York, and Utah). He has extensive experience in identifying, documenting, configuring, testing and implementing business rules and logic with six Optum DSS systems.

Mr. Quaal has proven skills coordinating and communicating with both technical and user staff in customer organizations and in the project team. Mr. Quaal has a strong commitment to customer centric development and product focus and to delivering cost savings through analytics and business process improvements. He has been part of several User Acceptance Testing processes in several of our DSS solutions and is expert in identifying, developing, and implementing test cases. Mr. Quaal has demonstrated success and experience in all key responsibilities of the Business Solution Manager position.

A.2.4.1 Business Solution Manager Key Personnel Profile Summary – Steve Quaal

Business Solution Manager Steve Quaal Key Personnel Profile Summary			
Professional References			
	Reference 1	Reference 2	Reference 3
Contact Name	Dr. Lindy J. Summers-Bair, MD, Medical Consultant I	Eric Cheah, Associate Governmental Program Analyst, Benefits Division	Lee A. Worth, Pharm.D., Pharmaceutical Consultant II
Phone Number	916.445.2188	916.552.9570	916.319.8173
Email Address	Lindy.Summers-Bair@dhcs.ca.gov	Eric.Cheah@dhcs.ca.gov	Lee.Worth@dhcs.ca.gov
Company Name	California Department of Health Care Services (CA-DHCS), Audits and Investigations Medical Review Branch	California Department of Health Care Services (CA-DHCS)	California Department of Health Care Services (CA-DHCS), Audits and Investigations Medical Review Branch
Mailing Address	1500 Capitol Avenue, MS2301, Sacramento CA 95899-7413	1501 Capitol Avenue, MS 4601 Sacramento CA 95814	1500 Capitol Avenue, MS2301, Sacramento CA 95899-7413

A.2.4.2 Business Solution Manager Education and Training – Steve Quaal

Business Solution Manager Steve Quaal Key Personnel Profile Summary		
Education and Training		
Education and Training	Meets or Exceeds Requirement	Relevance to Project Duties and Obligations
Bachelor Degree in health care related field or 9 years health care solution implementation experience	Yes	Mr. Quaal has both a Bachelor and a Master degree in information technology. He has a more than 13 years DSS health care solution implementation experience. Steve has been an adjunct lecturer at the University of St. Thomas related to DSS systems. Mr. Quaal's education is excellent to support his role as the Business Solution Manager.
Professional Training and Certifications	Yes	Certified Business Intelligence Professional (CBIP). As a CBIP, Mr. Quaal brings recognized knowledge and expertise related to data warehousing solutions and associated business intelligence development.

A.2.4.3 Business Solution Manager Relevant Experience – Steve Quaal

Business Solution Manager Steve Quaal Key Personnel Profile Summary	
Relevant Experience	
Date	07/2007 - Present
Role	Principal Healthcare BI/DW Consultant
Project Name	Optum
Contact Information	Steven Grimshaw 916-288-2572 Steve.grimshaw@optum.com 9300 Tech Center Drive Floor 2 Sacramento, CA 95826
Description of Duties:	
<ul style="list-style-type: none"> • Primary, overall responsibility for design and implementation of Business Intelligence solution for California Department of Health Care Services (DHCS) Medi-Cal, the Medicaid agency for the state of California. This is one of the top five Medicaid programs in the United States • Solid customer facing experience in the development of program integrity analytics for Audits and Investigation and Third Party Liability organizations in California DHCS • Worked closely with Account Executive and OptumInsight Program Integrity executives to develop effective relationships with DHCS customers • Assisted in the development of sales presentations and presented to these DHCS customers as well as customers at the Illinois Department of Healthcare and Family Services (HFS) 	
Date	06/1999- 06/2007
Role	Senior Business Intelligence Consultant
Project Name	Bull Services (now Optum)
Contact Information	Craige Farwick Craige.farwick@optum.com PO Box 9472

Business Solution Manager Steve Quaal Key Personnel Profile Summary	
Relevant Experience	
	Minneapolis, MN 55440-9472 Steven Grimshaw 916-288-2572 Steve.grimshaw@optum.com 9300 Tech Center Drive Floor 2 Sacramento, CA 95826
Description of Duties:	
<ul style="list-style-type: none"> • Designed and implemented business intelligence solutions in Business Objects XI Release 2 • Developed written and oral presentations in response to requests for proposals from numerous state Medicaid agencies • Developed and deployed a fraud and abuse identification, data mining application for Nassau County in New York • Conducted requirements definition and follow-up sessions with this New York customer • Created a data mart with three years of Medicaid, healthcare data to support the fraud and abuse application • Designed and implemented data mining scenarios using SPSS Clementine and Scenario Manager Suite • Created an ad hoc query function using Hummingbird BI-Query • Created user and administrator documentation to facilitate the turnover to the customer • Project team lead for business intelligence implementation at the <i>Utah Department of Health Care Finance</i> • Created detailed design document for this BI application • Supervised a team of five, sub-contractor developers • Conducted requirements definition sessions and developed specifications for a comprehensive set of management indicator reports • Worked extensively in proposal development, JAD sessions, user group meetings, project planning, application architecture, user training, resource planning, sales presentations, and application development • Project team lead for business intelligence implementation at the <i>Illinois Department of Public Aid</i> • Conducted extensive requirements definitions session with user staff across this customer's diverse, statewide organization • Gave numerous status and demonstration presentations to all levels within the customer's organization • Designed and led the development of a healthcare reporting and analysis application deploying a Visual Basic front-end with a Business Objects back-end • Designed and led the development of an executive information system leveraging this same Visual Basic and Business Objects technical architecture • Led the development of a data mart used for HMO rate setting • Led the development of a healthcare provider fraud and abuse sampling application • Developed help desk plan for overall project • Supervised a team of eight developers including sub-contractors • Worked closely with staff at all levels of customer organization • Designed and led the initial implementation of the Business Objects universes 	
Date	05/1998 – 05/1999

Business Solution Manager Steve Quaal Key Personnel Profile Summary	
Relevant Experience	
Role	Senior Systems Integrator
Project Name	Bull Services (now Optum)
Contact Information	Craige Farwick Craige.farwick@optum.com PO Box 9472 Minneapolis, MN 55440-9472
Description of Duties:	
<ul style="list-style-type: none"> Assisted with the development of a data warehouse feasibility assessment for the <i>Iowa Department of Human Services</i> Prepared presentation materials for user assessment meetings Conducted user assessment meetings Assisted with the design and development of data warehouse for the <i>Minnesota Department of Economic Security</i> Responsible for data quality and data integrity issues Worked extensively with client in report development using Business Objects Conducted user group meetings to determine data and reporting requirements 	

A.2.4.4 Business Solution Manager Resume – Steve Quaal

Steven H. Quaal, CBIP

Business Solution Manager

Critical Competencies

- Twenty-seven years of business intelligence, data analysis, data warehouse development and management experience in both public healthcare and private sector organizations
- Twenty-seven years of experience in customer requirements definition and the design of effective business information delivery systems
- Twenty years of project management experience in business intelligence implementation of healthcare information systems, customer marketing applications, and strategic route planning analytics
- Thirteen years of experience in business intelligence and data warehouse implementation in six state Medicaid agencies (California, Illinois, Iowa, Minnesota, New York, and Utah)
- Thorough work in project, team, and role definition; business intelligence and ETL tool selection; technical architecture definition; articulating project goals and the management of customer expectations through the use of effective customer presentations
- Well versed in leading cross-functional teams in the application of data warehouse and business intelligence methodologies
- Excellent skills coordinating and communicating with both technical and user staff
- Significant staff supervision and company leadership expertise
- Participated in the development of numerous RFP proposal responses
- Team member for winning, final orals session with California DHCS in 2006

Work Experience

- 2007-Present** **Principal Healthcare BI/DW Consultant, OptumInsight Government Solutions, Minnesota**
- Primary, overall responsibility for design and implementation of Business Intelligence solution for California Department of Health Care Services (DHCS) Medi-Cal, the Medicaid agency for the state of California. This is one of the top five Medicaid programs in the United States
 - Solid customer facing experience in the development of program integrity analytics for Audits and Investigation and Third Party Liability organizations in California DHCS
 - Works closely with Account Executive and OptumInsight Program Integrity executives to develop effective relationships with DHCS customers
- 2006-2007** **Senior Business Analyst, Northwest Airlines, Minnesota**
- Designed and implemented business intelligence solutions in Brio (Hyperion now Oracle) for the airline marketing and schedule business analysts
 - Defined requirements and implemented DB2 database solutions to support these same analysts
- 1999-2006** **Senior Business Intelligence Consultant, Bull Services, Minnesota**
- Designed and implemented business intelligence solutions in Business Objects XI Release 2
 - Developed written and oral presentations in response to requests for proposals from numerous state Medicaid agencies
 - Developed and deployed a fraud and abuse identification, data mining application for *Nassau County in New York*
 - Conducted requirements definition and follow-up sessions the New York DSS customer
 - Created a data mart with three years of Medicaid, healthcare data to support the fraud and abuse application
 - Designed and implemented data mining scenarios using SPSS Clementine and Scenario Manager Suite
 - Created an ad hoc query function using Hummingbird BI-Query
 - Created user and administrator documentation to facilitate the turnover to the customer
 - Project team lead for business intelligence implementation at the *Utah Department of Health Care Finance*
 - Supervised a team of five, sub-contractor developers
 - Conducted requirements definition sessions and developed specifications for a comprehensive set of management indicator reports
 - Worked extensively in proposal development, JAD sessions, user group meetings, project planning, application architecture, user training, resource planning, sales presentations, and application development
 - Project team lead for business intelligence implementation at the *Illinois Department of Public Aid*

- Gave numerous status and demonstration presentations to all levels within the customer's organization
- Designed and led the development of a healthcare reporting and analysis application deploying a Visual Basic front-end with a Business Objects back-end
- Led the development of a data mart used for HMO rate setting
- Led the development of a healthcare provider fraud and abuse sampling application
- Supervised a team of eight developers including sub-contractors

1998-1999

Senior Systems Integrator, Bull Services, Minnesota

- Assisted with the development of a data warehouse feasibility assessment for the Iowa Department of Human Services
- Designed and conducted user assessment meetings around data and analytics
- Assisted with the design and development of data warehouse for the Minnesota Department of Economic Security
- Responsible for data quality and data integrity issues
- Worked extensively with client in report development using Business Objects

1994-1998

Senior System Analyst, Ecolab, Inc., Minnesota

- Project team lead for business intelligence implementation for Institutional Marketing and Textile Care division
- Re-designed a decision support system used by corporate market research to track and analyze new product performance and account penetration. Designed and developed the curriculum used to train over sixty clients on Cognos Impromptu ad hoc query tool
- Led the overall effort to replace existing Focus ad hoc system with client developed queries using Cognos Impromptu
- Key player in the design of the highly de-normalized data warehouse tables to facilitate and simplify end user access to corporate data
- Designed the queries used in an intranet project to provide up-to-date, corporate information to field sales personnel
- Designed a Microsoft Access database to provide a "bring along" month-end snapshot of corporate contract and account sales information
- Supervised regular and contract employees involved in project work
- Provided time estimates and project development updates to direct supervisor and other appropriate staff
- Prepared and gave project presentations to management and support staff

1990-1994

International Market Planning Specialist, Northwest Airlines, Inc., Minnesota

- Conceptualized the design and consulted with the IS development team for an ad hoc query tool using PowerBuilder that allowed market analysts desktop access to all corporate DB2 tables. Led the implementation of this tool in the user community.
- Designed and developed an extensive series of reports and databases that were used

in a comprehensive, industry-wide, business strategy study

- Developed a desktop system using Microsoft Access to allow route planning analysts instant access to market share data
- Consulted with all levels in the corporation on the use of the above databases and all other relevant internal and external sources of marketing data
- Designed and developed a sales forecasting and tracking system for trans-atlantic and trans-pacific sales analysts

1987-1990

Lead Information Analyst, EduServ Technologies, Inc., Minnesota

- Project lead of the ad hoc query group
- Provided extensive support for IBI Focus report development within all levels of the organization

1984-1987

Senior Management Information Specialist, Hennepin County Community Services, Minnesota

- Converted existing production COBOL reports utilizing IBI Focus 4GL tool
- Led the implementation of a POS contract application
- Conducted effective requirements definition and user training sessions

1979-1982

MIS Payroll Services Coordinator, SW & WC ECSU, Minnesota

- Supervised a staff of three employees in the production of scheduled payrolls for more than fifty independent school districts
- Responsible for the maintenance and enhancement of the payroll processing software
- Provided training and feedback sessions with payroll user community

Education

M.S.D.D., University of St. Thomas
B.A., University of Minnesota, Morris

Other Experience

Academic Adjunct Lecturer – “Data Warehouse and Decision Support System Development”, Graduate Program in Software Development, University of St. Thomas, St. Paul, Minnesota
CBIP TDWI Certification

Technology

Query Tools	SQL
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	Queryman
	Cognos Impromptu PowerPlay ReportNet FrameworkManager
	Brio – subsequently acquired by Hyperion now Oracle
	Information Builders (IBI) Focus
Data Modeling	ERwin
Data Mining	SPSS Clementine SPSS Scenario Manager Suite (SMS)

A.2.4.5 Business Solution Manager Qualifications – Steve Quaal

Required Experience and Qualifications	Meets Requirement	Description of compliance
5 (or 9) years of experience implementing health care solutions in environments similar to AME	Yes	Mr. Quaal has more than 13 years of state Medicaid DSS implementation experience.
3 years of experience documenting and extracting business rules	Yes	Mr. Quaal has more than 27 years of experience as a business analyst and manager with a strong focus on documenting and extracting customer business rules. He has deep understanding of Medicaid DSS business rules from his 13 years of developing DSS for state Medicaid. He has developed and implemented business rules base design processes with focus on JAD group process.
Working knowledge of business process modeling	Yes	Mr. Quaal is deeply experienced in business process modeling through both work experience and education. He has taught business processing modeling at the graduate level.
Expert knowledge of the Optum DSS and components	Yes	Mr. Quaal has a more than 13 years of state Medicaid DSS implementation experience over six different implementations. He has been a key staff person in the development of the Optum DSS solution.
Implemented Optum solution in environment as complex as AME	Yes	Mr. Quaal has a more than 13 years of state Medicaid DSS implementation experience over six different implementations. With the possible exception of Utah, all are at least as complex as the AME DSS terms of data sources, number of users, or size of the Medicaid program. Mr. Quaal is currently working in California.
Expert knowledge of national policies and standards impacting	Yes	With his more than 13 years of experience building and updating Medicaid DSS analytics for multiple State

Required Experience and Qualifications	Meets Requirement	Description of compliance
the AME environment		DSS customers Steve is deeply knowledgeable about national policies and standards impacting Medicaid DSS.
Primary work location will be the Contractor's DDI facility	Yes	Upon project award
Will work on Project full time	Yes	

A.2.5 Testing Manager - Virinda Dabke

We propose Ms. Vrinda Dabke as our testing manager. Ms. Dabke has more than 20 years of experience designing, developing and implementing strategic business solutions with extensive focus on business analytics and information delivery. She has more than nine years of health care business intelligence experience.

Ms. Dabke currently leads the Information Delivery and Assurance group within Optum. This group is responsible for providing quality assurance and user acceptance testing. Ms. Dabke holds this role because she is an expert at creating processes for testing that are robust and business focused. In this role she is responsible for managing the defining and execution of test case and ensuring that the proper documentation is completed within an overall structure of testing that produces consistent fully captured, well documented replicable results. Ms. Dabke has developed processes that document test results and subsequently track defects and testing issues. Ms. Dabke has very strong skills and a background of working closely with customers around business issues and test cases related to those issues.

A.2.5.1 Testing Manager Key Personnel Profile Summary – Vrinda Dabke

Testing Manager Vrinda Dabke Key Personnel Profile Summary			
Professional References			
	Reference 1	Reference 2	Reference 3
Contact Name	Robert Scott: CTO	Jason Phillips: Director	Angelo Morello: Direct
Phone Number	860-781-6350	612-963-3186	860-625-7630
Email Address	rscott@acxius.com	jrphillips@alixpartners.com	angelo.morello@pfizer.com
Company Name	Acxius Strategic Consulting	AlixPartners	Pfizer Business Technology
Mailing Address	65 Naubuc Ave., Glastonbury, CT 06033	2000 Town Center Suite 2400 Southfield, MI 48075	558 Eastern Point Rd, Groton, CT 06340

A.2.5.2 Testing Manager Education and Training - Vrinda Dabke

Testing Manager Vrinda Dabke Key Personnel Profile Summary		
Education and Training		
Education and Training	Meets Requirement	Relevance to Project Duties and Obligations
Bachelor Degree in IT or 9 years of experience	Yes	Ms. Dabke has Bachelor's degree in computer science and an MBA from Columbia. This education is directly relevant to the technical and management skills needed to support the AME DDS project.
Professional Training and Certifications	Yes	Ms. Dabke has an MBA in Finance. This training allows her to better understand and quantify the Medicaid business issues that underlying testing problems and results.

A.2.5.3 Testing Manager Relevant Experience – Vrinda Dabke

Testing Manager Vrinda Dabke Key Personnel Profile Summary	
Relevant Experience	
Date	05/2012 - Present
Role	Delivery Assurance Manager
Project Name	Optum
Contact Information	Stefan Schroffner 541-688-3007 stefan.schroffner@optum.com PO Box 9472 Minneapolis, MN 55440-9472
Description of Duties:	
<ul style="list-style-type: none"> Establish a Delivery Assurance competency center to reduce risk in client deliverables and ensure a consistent delivery process System Testing services (functional, performance, stress, regression, automation) User Acceptance Testing coordination Ongoing client deliverables testing Continuous improvement (metrics & measurement) 	
Date	01/2011 - 05/2012
Role	Director Custom Solutions
Project Name	Optum
Contact Information	Greg Pederson 763/797-4366 gregory.pederson@optum.com 6300 Olson Memorial Hwy Golden Valley, MN 55427
Description of Duties:	
<ul style="list-style-type: none"> Managed non-standard data and analytic solutions for large employer clients 	

Testing Manager Vrinda Dabke Key Personnel Profile Summary	
Relevant Experience	
<ul style="list-style-type: none"> • Provided comprehensive data aggregation and reporting solutions for customers • Cost and Utilization reporting • FSA banking reports • Normative benchmarks • Wellness and productivity scorecards • Statistical analysis and predictive modeling 	
Date	01/2010 - 12/2010
Role	Business Intelligence Center of Excellence Management Consultant
Project Name	Acxius Strategic Consulting
Contact Information	Robert Scott 860-781-6350 rscott@acxius.com 65 Naubuc Ave., Glastonbury, CT 06033
Description of Duties:	
<ul style="list-style-type: none"> • Established a Business Intelligence Center of Excellence for the Sterling Health Plans business (Medicare, prescription and life products), which included the following areas: • Data Management and Organization • Infrastructure, architecture and technology • Data Access and Integration • Data Capture • Report Rationalization and development 	
Date	06/2008 - 12/2009
Role	AVP, Performance Measurement & Analysis, Group
Project Name	Benefits Division, Hartford Financial Services Group
Contact Information	Beth Horvath, VP 860-212-8493 elizabeth.horvath@thehartford.com 200 Hopmeadow Street Simsbury, CT 06089
Description of Duties:	
<ul style="list-style-type: none"> • Created and implemented enterprise wide business information vision and strategy and promoted a culture of informed decision making • Provided leadership to the Managing Information Resources (MIR) strategic program • Established a Business Intelligence organization to facilitate a 'single source of truth' • Created a cross functional metrics group (enterprise metrics) to identify, monitor and track key business performance metrics • Developed the roadmap for business information projects (\$8M annual investment budget) • Provided leadership for project planning, KPI analysis, best practices and business implementation for the strategic program (MIR) • Defined processes and best practices for project prioritization, stakeholder engagement, data quality and 	

Testing Manager Vrinda Dabke Key Personnel Profile Summary	
Relevant Experience	
information stewardship <ul style="list-style-type: none"> Created and promoted a vision for an Enterprise dashboard 	
Date	09/2007 - 06/2008
Role	Head of Finance, Medical & eHealth Products
Project Name	Aetna, Inc.
Contact Information	Mark Hill, VP 860-881-0197 hillm@aetna.com 151 Farmington Avenue Hartford, CT 06156
Description of Duties: <ul style="list-style-type: none"> Finance partner to the Head of Medical & eHealth Products, and Head of Product Development. Responsible for financial ROI analysis, business case analysis and creation of an enterprise wide product performance analysis framework. Created long term strategic plans and annual operating plans for the business units to establish alignment with Segments, Expense management and Medical cost management groups. Built a task force to establish financial and operational metrics for the product management process Provided ongoing analytical support to the business and senior management: monitoring progress against operational plans & forecast, and identifying key problems or significant opportunities in cost control. 	

A.2.5.4 Testing Manager Resume – Vrinda Dabke

Vrinda Dabke

Director, Information Delivery Assurance

Experience Summary

Highly accomplished and results oriented executive offering 20 years of experience in Business analytics, Finance, Information Technology, Operations and General Management. Demonstrated expertise in business intelligence, portfolio management, financial planning & analysis, reporting and systems. Exceptional leadership & team building skills, with outstanding analytical and communication abilities. Diversified background of working across multiple industries, cultures and geographical areas.

Areas of Expertise:

- Business Intelligence and decision support, business performance analysis, metrics management
- Large scale portfolio and program management
- Budget development and management, financial forecasting
- Financial planning, budgeting and reporting systems (Cognos, Business Objects, Hyperion, Microstrategy, SAS)
- Business case development, ROI analysis, product performance analysis
- Financial models development, financial systems integration in mergers & acquisitions
- Understanding of U.S. Generally Accepted Accounting Principles
- Organized, detail oriented & focused, ability to multi-task & willingness to learn

- Ability to effectively interact at all levels of the organization, and work with cross-functional teams and other business leaders in complex, matrixed environments

Work Experience

2012-Present

Director, Information Delivery Assurance, United Health Group (OptumHealth)

- Establish a Delivery Assurance competency center to reduce risk in client deliverables and ensure a consistent delivery process
- System Testing services (functional, performance, stress, regression, automation)
- User Acceptance Testing coordination
- Ongoing client deliverables testing
- Continuous improvement (metrics & measurement)

2011-2012

Director, Custom Solutions, United Health Group (OptumHealth)

- Managed non-standard data and analytic solutions for large employer clients
- Provided comprehensive data aggregation and reporting solutions for customers
- Cost and Utilization reporting
- FSA banking reports
- Normative benchmarks
- Wellness and productivity scorecards
- Statistical analysis and predictive modeling

2010-2010

Business Intelligence Center of Excellence Management consultant – Munich Re, Acxiom Strategic Consulting

- Established a Business Intelligence Center of Excellence for the Sterling Health Plans business (Medicare, prescription and life products), which included the following areas:
 - Data Management and Organization
 - Infrastructure, architecture and technology
 - Data Access and Integration
 - Data Capture
 - Report Rationalization and development

2008-2009

AVP, Performance Measurement & Analysis, Group Benefits Division, Hartford Financial Services Group

- Created and implemented enterprise wide business information vision and strategy and promoted a culture of informed decision making
- Provided leadership to the Managing Information Resources (MIR) strategic program
- Established a Business Intelligence organization to facilitate a 'single source of

truth'

- Created a cross functional metrics group (enterprise metrics) to identify, monitor and track key business performance metrics
- Developed the roadmap for business information projects (\$8M annual investment budget)
- Provided leadership for project planning, KPI analysis, best practices and business implementation for the strategic program (MIR)
- Defined processes and best practices for project prioritization, stakeholder engagement, data quality and information stewardship
- Created and promoted a vision for an Enterprise dashboard, secured leadership support and additional operational funding (\$1.2M). Successfully implemented a Rapid Iterative development methodology with phased delivery model to demonstrate earlier benefit realization

2007-2008

Head of Finance, Medical & eHealth Products, Product Development, Aetna, Inc.

- Finance partner to the Head of Medical & eHealth Products, and Head of Product Development. Responsible for financial ROI analysis, business case analysis and creation of an enterprise wide product performance analysis framework
- Managed the Product Business Units investments (IT, G&A) expenses and overall operating budgets (\$25M) to ensure financial attribution and value-added investment selection
- Created long term strategic plans and annual operating plans for the business units to establish alignment with Segments, Expense management and Medical cost management groups
- Built a task force to establish financial and operational metrics for the product management process to facilitate product performance analysis, and enhance product level decision making
- Worked with Business Development to assist and evaluate mergers and acquisitions for enhancement of core capabilities
- Provided ongoing analytical support to the business and senior management: monitoring progress against operational plans & forecast, and identifying key problems or significant opportunities in cost control
- Signed off on 10Q and 10Ks for Business Unit financials – external commitments and warranties

2001-2007

Management Consultant, BLC Consulting, LLC

- Managed Pfizer's financial planning and reporting process
- Implemented a business decision support framework and provided operational support for finance customers
- Established and managed Business Intelligence Competency Center
- Designed and Implemented global enterprise data warehouse with analytical and reporting tools (Business Objects & Cognos)
- Developed a business intelligence framework and deployed BI tools (Business Objects) across 5 major research sites and 2,500 business users. Deployment included core product, reports, audit and publish capabilities
- Created and developed financial planning processes and a global Cognos based

system used to manage annual research budget of \$5.5 Billion

- Developed and maintained highly integrated financial models and other financial systems, total usage across 20 geographical sites, 10 functional areas and 1000 users
- Worked on a global budgeting initiative to align planning processes for planning revenues, cost of sales, workforce, P&L, capital, inventory across all divisions, and implement a global Hyperion based planning and reporting system
- Managed the day-to-day financial planning, analysis and reporting operations, track and report on cost savings initiatives to senior management
- Integrated financial systems after Pharmacia Acquisition

1996-2001

Global Software Technologies, Inc.

- Consulting Program Manager - Federated Department Stores (1998-2001)
- Consulting Project Manager - American Stores (1997-1998)
- Consulting Project Lead - Depository Trust Company (1996-1997)

1995-1996

Project Leader, LMB Singapore, PTE. LTD

1993-1995

Project Leader, National Computer Board, Singapore

1992-1993

Programmer Analyst, Infosys Technologies LTD, India

Education

MBA, Finance, Dean's Honor List, Columbia Business School, New York, NY
Member, Beta Gamma Sigma Business honor society
Member, Columbia Women in Business Club, Columbia Healthcare Association
Bachelor of Engineering (Computer Science & Technology), Pune University, India
University rank holder
President, Student Council

A.2.5.5 Testing Manager Qualifications – Vrinda Dabke

Required Experience and Qualifications	Meets or Exceeds Requirement	Description of compliance
5 (or 9) years of experience implementing health care solutions in environments similar to AME	Yes	Ms. Dabke has 12 years of experience implementing health care solutions across a wide range of strategic business solutions with a strong emphasis on health care environments with analytic needs similar to AME.
Working Knowledge of Optum Solution for AME	Yes	Ms. Dabke leads the Optum Information Delivery Assurance group with oversight over all Optum

Required Experience and Qualifications	Meets or Exceeds Requirement	Description of compliance
		solutions including the Optum DSS.
Working knowledge of AME business processes	Yes	Ms. Dabke is deeply knowledgeable in health care and Medicaid business process.
Primary work location will be the Contractor's DDI facility	Yes	Upon project award

A.2.6 Documentation and Training Manager - Ann Nurenberg, CBIP

We propose Ms. Ann Nurenberg as our documentation and training manager. She has more than nine years of training experience in training development, oversight, and delivery instruction using a variety of tools for many different data warehouse users and subjects, both beginning and advanced users. Ms. Nurenberg is Certified Business Intelligence Professional (CBIP). Prior to joining Optum, Ms. Nurenberg worked for the Michigan Medicaid Program and was contract manager over the DSS contract as well as chair of the Medicaid DSS user and training group. Ms. Nurenberg has deep data warehouse technical knowledge, and sensitivity to user training needs. She has managed training content and scheduling, facilitated numerous training presentations, and developed and managed feedback processes for our training programs.

Ms. Nurenberg is also an expert in documentation. She managed the traceability matrix for California, our largest DSS customer. She developed and managed the data dictionary and other documentation processes for other Optum DSS customers. Ms. Nurenberg was responsible for developing documentation approaches and standards throughout her work history. In her documentation roles over many years, she has helped develop documentation standards and organization structures related to project related materials that are published and presented to our customers through portals and other electronic access means. Ms. Nurenberg has both the experience and high standards required for developing and improving documentation throughout the AME DSS. Ms. Nurenberg's skills and experience in this position are enhanced by her being a former customer user of Optum DSS and also a developer, business analyst, and UAT manager who brings real understanding of the purposes of documentation and training.

A.2.6.1 Documentation/Training Manager Key Personnel Profile Summary – Ann Nurenberg

Documentation/Training Manager Ann Nurenberg Key Personnel Summary			
Professional References			
	Reference 1	Reference 2	Reference 3
Contact Name	Michele Warstler	Nicole Armbrustmacher	Deb Ziegler
Phone Number	(517) 373-3133	(517) 241-7836	(517) 241-3044
Email Address	warstler@michigan.gov	armbrustmachern@michigan.gov	zieglerd@michigan.gov

Documentation/Training Manager Ann Nurenborg Key Personnel Summary			
Professional References			
	Reference 1	Reference 2	Reference 3
Company Name	Michigan Department of Community Health Office of Health Services Inspector General	Michigan Department of Community Health Office of Health Services Inspector General	Michigan Department of Community Health Behavioral Health and Disabilities Administration
Mailing Address	400 S. Pine St., 6 th Floor Capitol Commons Building Lansing, MI 48909	400 S. Pine St., 6 th Floor Capitol Commons Building Lansing, MI 48909	Lewis Cass Building, 5th Floor 320 South Walnut Lansing, MI 48913

A.2.6.2 Documentation/Training Manager Education and Training – Ann Nurenborg

Documentation/Training Manager Ann Nurenborg Key Personnel Summary		
Education and Training		
Education and Training	Meets or Exceeds Requirement	Relevance to Project Duties and Obligations
Bachelor Degree in Business Administration or education or 9 years of experience	Yes	BS in Medical Technology plus more than 9 years of experience. Ms. Nurenborg’s degree and experience both provide extensive knowledge related to DSS training and documentation but also to State employee perspectives and needs related to training and documentation.
Professional Training and Certifications	Yes	Certified Business Intelligence Professional (CBIP). Ms. Nurenborg’s knowledge of data warehouse principles and practices provide a strong basis for managing training and documentation.

A.2.6.3 Documentation/Training Manager Relevant Experience – Ann Nurenborg

Documentation/Training Manager Ann Nurenborg Key Personnel Profile Summary	
Relevant Experience	
Date	05/2008 - Present
Role	Senior Data Warehouse Business Analyst
Project Name	Optum Michigan DSS
Contact Information	Jeanne Barnstead 517-993-0913 jeanne.barnstead@optum.com 822 Centennial Way, Lansing MI 48917
Description of Duties:	

Documentation/Training Manager Ann Nurenberg Key Personnel Profile Summary	
Relevant Experience	
<ul style="list-style-type: none"> Interact with the developers & business partners to collect data specifications & artifacts related to the MDCH data warehouse. Understand traceability matrix to ensure source data is aligned to requirements and converted correctly to CHAMPS data. Coordinate with the Architectural team to come up with proposed design & possible solutions that could also satisfy involved independent contractors. Make key decisions on proposed design structure. Conduct JAD sessions with the business partners to map legacy data warehouse fields to new data warehouse fields related to MDCH data warehouse projects. Create queries using BI-Query and SQL Assistant, to research, answer user questions, and validate results related to MDCH data warehouse projects. Prepare and deliver training to coordinate with new data warehouse models 	
Date	03/2007 – 05/2008
Role	Senior Business Analyst and DHCS Liaison role, Optum, California
Project Name	California DSS
Contact Information	Steven Grimshaw 916-288-2572 Steve.grimshaw@optum.com 9300 Tech Center Drive Floor 2 Sacramento, CA 95826
Description of Duties:	
<ul style="list-style-type: none"> Conducted JAD sessions to collect data specifications & artifacts related to the data warehouse. Understood traceability matrix to ensure source data is aligned to requirements. Coordinated with the Architectural team to model the data warehouse. Made key decisions on proposed design structure. Developed and performed system test (ST) and coordinated User Acceptance testing (UAT). Designed Help Desk Web application and coordinated delivery of help from the Help Desk. Developed the Data Dictionary for the CalMed Data Warehouse. Designed and produced the DHCS quarterly newsletter. Mentored training lead and staff 	
Date	10/1999 – 03/2007
Role	Team Functional Lead, Optum (formerly Ingenix), New York
Project Name	NY DSS
Contact Information	Joseph Lamattina 603/553-7570 joseph.lamattina@optum.com PO Box 9472 Minneapolis, MN 55440-9472
Description of Duties:	
<ul style="list-style-type: none"> Conducted JAD sessions to collect data specifications & artifacts for the eMedNY Data Warehouse. 	

Documentation/Training Manager Ann Nurenberg Key Personnel Profile Summary

Relevant Experience

- Coordinated requirements gathering for independent contractors delivering services to the eMedNY Data Warehouse State users.
- Understood the traceability matrix to ensure source data is aligned to requirements.
- Coordinated with the Architectural team and came up with the data warehouse design that would also satisfy involved contractors.
- Made key decisions on proposed design structure.
- Coordinated User Acceptance testing (UAT).
- Designed Help Desk support strategy and coordinated delivery of help via the phone and scheduled meetings with users.
- Developed the training program that delivered training for over 200 classes including BI-Query training, Ingenix Procise product training, SPSS Statistics and Data Mining training, and MapInfo training.
- Oversight for all EIS/DSS pre-defined reports.
- Developed the eMedNY Data Dictionary.
- Formed over 10 User Groups through the Reengineering User Group Study.
- Conducted a Business Reengineering Data Warehouse Usage Study to discover the benefits and challenges of the Data Warehouse after three years of use.
- Assisted in a Web-enabling Study exploring Web-enabling options, testing and presentation for the eMedNY project.
- Facilitated the JAD process for migrating MARS reports from the legacy system to the Data Warehouse.

A.2.6.4 Documentation/Training Manager Resume – Ann Nurenberg

Ann Nurenberg

Documentation/Training Manager

Experience Summary

- **Data Analysis:** More than 12 years of business and data analysis, profiling & data mining experience with a lead role for more than 8 years
- **Business Intelligence (BI) Report Development:** More than 10 years of BI experience in Business Objects XI, SQL Assistant, and Open Text BI-Query 9.0
- **Training:** More than 9 years of training experience in training development, oversight, and instruction using Open Text BI-Query, SQL Assistant, and Business Objects Web Intelligence
- **Documentation:** More than 9 years of experience creating user focused documentation and documentations systems such as data dictionaries
- **Help Desk:** More than 6 years of design, management, and delivery of help desks using phone and Web communication
- **Joint Application Development (JAD):** More than 7 years of requirements gathering for many different projects for three different state programs including Michigan
- **System Test Lead:** More than 6 years of experience developing system tests, running system tests and helping the customer develop their User Acceptance Testing (UAT)

- **Data Modeler/Architect:** experience creating logical and physical database design using Erwin
- **Medicaid/Health Care:** More than 20 years Medicaid or medical insurance data experience, including 14 years working with Michigan Department of Community Health
- **State Government:** 23 years of experience, including 14 years with Michigan
- **Study Director:** experience conducting studies for state government
- **Strong communication skills and project management capabilities**

Work Experience

2008-Present

Senior Data Warehouse Business Analyst, Optum, Michigan

Client: Michigan Department of Community Health (MDCH)

Projects: MDCH Data Warehouse, including SURS, MIHP, ACF SIP Grant, CMS-372 Reports, CHAMPS

- Interact with the developers & business partners to collect data specifications & artifacts related to the MDCH data warehouse.
- Understand traceability matrix to ensure source data is aligned to requirements and converted correctly to CHAMPS data.
- Coordinate with the Architectural team to come up with proposed design & possible solutions that could also satisfy involved independent contractors.
- Make key decisions on proposed design structure.
- Conduct JAD sessions with the business partners to map legacy data warehouse fields to new data warehouse fields related to MDCH data warehouse projects.
- Create queries using BI-Query and SQL Assistant, to research, answer user questions, and validate results related to MDCH data warehouse projects. Prepare and deliver training to coordinate with new data warehouse models.

Environment: Teradata, Erwin, Business Objects XI, SQL Assistant, SAS, ESRI, BI-Query

2007-2008

Senior Business Analyst and DHCS Liaison role, Optum, California

Client: California DHCS (Department of Health Care Services) Data Warehouse Project

Project: MIS/DSS CalMed Data Warehouse

- Conducted JAD sessions to collect data specifications & artifacts related to the data warehouse
- Understood traceability matrix to ensure source data is aligned to requirements
- Coordinated with the Architectural team to model the data warehouse
- Made key decisions on proposed design structure
- Developed and performed system test (ST) and coordinated User Acceptance testing (UAT)
- Designed Help Desk Web application and coordinated delivery of help from the Help Desk
- Developed the Data Dictionary for the CalMed Data Warehouse
- Designed and produced the DHCS quarterly newsletter
- Mentored training lead and staff

Environment: Erwin, Business Objects XI, SQL Assistant predecessor Queryman, SAS, ESRI

1999-2007

Team Functional Lead, Optum (formerly Ingenix), New York

Client: New York State (DOH) Department of Health Medicaid Data Warehouse Project

Project: DOH eMedNY Data Warehouse

- Conducted JAD sessions to collect data specifications & artifacts for the eMedNY Data Warehouse
- Coordinated requirements gathering for independent contractors delivering services to the eMedNY Data Warehouse State user
- Understood the traceability matrix to ensure source data is aligned to requirements
- Coordinated with the Architectural team and came up with the data warehouse design that would also satisfy involved contractors
- Made key decisions on proposed design structure
- Coordinated User Acceptance testing (UAT)
- Designed Help Desk support strategy and coordinated delivery of help via the phone and scheduled meetings with users
- Developed the training program that delivered training for over 200 classes including BI-Query training, Ingenix Procise product training, SPSS Statistics and Data Mining training, and MapInfo training
- Oversight for all EIS/DSS pre-defined reports
- Developed the eMedNY Data Dictionary
- Formed over 10 User Groups through the Reengineering User Group Study
- Conducted a Business Reengineering Data Warehouse Usage Study to discover the benefits and challenges of the Data Warehouse after three years of use
- Assisted in a Web-enabling Study exploring Web-enabling options, testing and presentation for the eMedNY project
- Facilitated the JAD process for migrating MARS reports from the legacy system to the Data Warehouse

Environment: Erwin, Open Text BI-Query, SQL Assistant predecessor Queryman, SPSS, MapInfo, Ingenix Procise Products

Education

Bachelor of Science

Certifications

Certified Business Intelligence Professional (CBIP) in Leadership & Management
Medical Technologist Certification (ASCP)

A.2.6.5 Documentation/Training Manager Qualifications – Ann Nurenberg

Required Experience and Qualifications	Meets Requirement	Description of compliance
5 (or 9) years of experience developing and executing testing programs for solutions to Optum’s AME solution	Yes	Ms. Nurenberg has more than nine years of the required type of experience as demonstrated by the projects listed above and in her resume. In addition to the training and documentation focus, she brings more than 20 years of Medicaid experience to this project
Working knowledge of Optum solution	Yes	Ms. Nurenberg is deeply knowledgeable about the Optum DSS solution for AME and uses of the system by customers. She has been a key staff person in three of our DSS solution installations.
Working knowledge of business processes associated with AME	Yes	Ms. Nurenberg is deeply knowledgeable in Medicaid business issues and processes. She brings more than 20 years of Medicaid experience and understanding to this position. Having worked for state government for over 14 years, she also has deep understanding of how state government business process affects the AME DSS project.
Primary work location will be the Contractor’s DDI facility	Yes	Upon project award

A.2.7 Interface/Data Manager – Alexandr (Alex) Yevzelman

We propose Mr. Alexandr Yevzelman as the project interface/data manager. Mr Yevzelman has extensive experience in Healthcare data warehousing and ETL architecture, including design and development, performance tuning, database administration, and system administration. He has domain knowledge of Healthcare data and industry standards such as HL7 and X12 837. He has successfully executed numerous complex Data Warehousing, Analytical, CRM, and System Integration projects using Oracle, Netezza, Teradata, and SQL Server; UNIX; Java; messaging; and SQL, PL/SQL, and Syncsort as ETL platforms. Currently, Mr. Yevzelman is designing and leading the build of a clinical analytics solution for healthcare providers as well as developing a data services platform for processing clinical and claims data for healthcare applications. He brings this expertise to identifying and leveraging interfaces between the Optum DSS and other components of the AME solution. He also will be the key person to design, document and deploy our data warehouse interfaces to encourage maximum use of the data warehouse structure by other components of AME and by the broadest possible users within state security guidance.

Mr. Yevzelman has deep knowledge of data conversion and ETL and will manage the design and execution of the actual data conversion from the legacy MMIS systems. As part of the DDI he will provide his expertise to design ETL and other conversions for the new MMIS system implementation. He will manage the ETL process and the resulting data dictionaries to insure that they are accurate, current and useful. He will coordinate closely with the Documentation and Training Manager to insure that the ETL process supports documentation and meta data.

A.2.7.1 Interface/Data Manager Key Personnel Profile Summary – Alex Yevzelman

Interface/Data Manager Alex Yevzelman Key Personnel Summary			
Professional References			
	Reference 1	Reference 2	Reference 3
Contact Name	Matt Nichols, Director Business Intelligence	Praveen Rokkam, Information Architect	Frank Orr, VP of Technology/Architecture
Phone Number	952-936-6207	952-936-6207	952-833-6418
Email Address	matt.nichols@optum.com	praveen.rokkam@optum.com	frank.orr@optum.com
Company Name	Optum	Optum	Optum
Mailing Address	12125 Technology Drive Eden Prairie, MN 55344	12125 Technology Drive Eden Prairie, MN 55344	12125 Technology Drive Eden Prairie, MN 55344

Note: while these are Optum contacts, the clients are external to Alex’s organization or worked at external customers before coming to Optum.

A.2.7.2 Interface/Data Manager Education and Training – Alex Yevzelman

Interface/Data Manager Alex Yevzelman Key Personnel Summary		
Education and Training		
Education and Training	Meets Requirement	Description
Bachelor Degree or 9 Years of Experience	Yes	BS Computer Science and more than nine years of experience. Mr. Yevzelman has excellent credentials to manage interfaces for the AME DSS.
Professional Training and Certifications	Yes	Oracle Certified Professional. Mr. Yevzelman’s training and certification in Oracle supports the underlying system and his role as Interface Manager.

A.2.7.3 Interface/Data Manager Relevant Experience – Alex Yevzelman

Interface/Data Manager Alex Yevzelman Key Personnel Profile Summary	
Relevant Experience	
Date	04/2007 - Present
Role	Lead Data Base Architect
Project Name	Optum
Contact Information	Rehanullah Mirza 952-649-8247 rehan.mirza@optum.com

Interface/Data Manager Alex Yevzelman Key Personnel Profile Summary	
Relevant Experience	
	PO Box 9472 Eden Prairie, MN 55440-9472
Description of Duties:	
<ul style="list-style-type: none"> • Served as lead database architect for an Enterprise Data Warehouse • Led data modeling and design for multiple subject areas of an Enterprise Data Warehouse, including member, customer, contract, and claim information, based on business user requirements • Led database design and development of a longitudinal data mart containing information for over 60 million members and billions of claims • Designed and implement scalable ETL processes to migrate terabytes of data from Oracle to Netezza • Redesigned critical ETL processes and BI queries, improving their performance by orders of magnitude (from hours to minutes of runtime) and ultimately improved customer experience • Designed and implemented performance monitoring system • Performed system capacity planning 	
Date	12/2004 – 04/2007
Role	Principal Consultant
Project Name	Visionary Integration Professionals
Contact Information	(763) 398 2680 http://www.vipconsulting.com 3300 Fernbrook Lane Suite 180, Plymouth, MN 55447
Description of Duties:	
<ul style="list-style-type: none"> • Gathered and analyzed end user requirements for a business Designed Operational Data Store (ODS) and Data Warehouses • Built PL/SQL packages and procedures to process data from source raw files and to load final data into the ODS • Developed reusable Java Components to export data from a database into flat files • Performed general database administration tasks such as database creation, upgrades, monitoring, capacity planning and management • Designed and implemented ETL processes and components • Designed and implemented a reusable backup architecture utilizing the Snapshot feature of the D280, Veritas NetBackup, and UNIX ksh scripts • Implemented Syncsort scripts and Java Components to scrub and process the data according to the business rules • Tested various storage configurations to come up with the optimal performance configurations 	
Date	04/2000 - 12/2004
Role	Senior Consultant
Project Name	eLoyalty Corporation
Contact Information	Frank Orr 952-833-6418 frank.orr@optum.com

Interface/Data Manager Alex Yevzelman Key Personnel Profile Summary	
Relevant Experience	
	12125 Technology Drive Eden Prairie, MN 55344
Description of Duties:	
<ul style="list-style-type: none"> • Gathered and analyzed end user requirements for a business intelligence and campaign management system • Designed an Operational Data Store (ODS) and a Data Warehouse to consolidate data from over 20 different sources • Designed and implemented a process to use over 1.5 billion rows of data from the Data Warehouse for business intelligence reporting and campaign management. • Built PL/SQL packages and procedures to process data from source raw files and to load final data into the ODS • Developed reusable Java Components to export data from a database into flat files • Performed general database administration tasks such as database creation, upgrades, monitoring, capacity planning and management 	
Date	06/1997 - 04/2000
Role	Systems Administrator/Developer
Project Name	University of Minnesota Cancer Center
Contact Information	Telephone: 612-624-8484 Masonic Cancer Center, University of Minnesota Mayo Mail Code 806 420 Delaware Street SE Minneapolis, MN 55455
Description of Duties:	
<ul style="list-style-type: none"> • Gathered and analyzed end user requirements for a clinical trials database • Developed queries and reports for various databases, including a clinical trials database and an accounting database • Designed a data model to satisfy business requirements for administrative database • Installed, configured, and upgraded RDBMS software • Installed, configured, and upgraded servers and workstations • Maintained the Cancer Center Web site • Provided user support and training 	

A.2.7.4 Interface/Date Manager Resume – Alex Yevzelman

Alexandr Yevzelman

Interface Manager

Experience Summary

Alexandr Yevzelman is a Lead Database Architect at Optum. Mr. Yevzelman has extensive experience in data warehouse architecture, including design and development, database administration, and system administration. He has successfully executed numerous complex mission-critical Data Warehousing,

Analytical, CRM, and System Integration projects using Oracle, Netezza, and Teradata; UNIX; Java; messaging; and SQL, PL/SQL, and Syncsorts ETL platforms.

- Successfully executed many large-scale, multi-tier, multi-terabyte Data Warehouse implementations through the entire Software Development Lifecycle (SDLC)
- Lead development and infrastructure teams on data warehousing and system integration projects
- Extensive experience in working with some of the largest data sets in the healthcare industry
- Researched, analyzed, and recommended new technologies and implemented proof of concept solutions
- Successfully executed multiple large-scale Data Warehouse performance-tuning projects
- Administered dozens of multi-terabyte Data Warehouse and Analytical databases
- Played a key role in system integration projects involving over 10 TB of data
- Designed numerous data models
- As part of the ETL group, developed reusable Java components and wrote Syncsort, Perl, and UNIX ksh shell scripts
- Performed database server system administration
- In-depth knowledge and experience in Data Warehouse architecture, in ETL processes needed for Data Warehousing projects, and in Oracle, Netezza, and Teradata technology

Work Experience

2007-Present

Lead Database Architect, Optum, UnitedHealth Group, Eden Prairie, MN

- Serve as lead database architect for an Enterprise Data Warehouse
- Lead data modeling and design for multiple subject areas of an Enterprise Data Warehouse, including member, customer, contract, and claim information, based on business user requirements
- Lead database design and development of a longitudinal data mart containing information for over 60 million members and billions of claims
- Analyze and compare database appliances (such as Exadata, Netezza, and Teradata) versus traditional database systems
- Design and implement scalable ETL processes to migrate terabytes of data from Oracle to Netezza
- Resolve complex multi-tier performance and configuration issues
- Redesign critical ETL processes and BI queries, improving their performance by orders of magnitude (from hours to minutes of runtime) and ultimately improved customer experience
- Identify as the go-to expert for resolving database performance problems
- Advise various project teams on selecting appropriate hardware configuration
- Design and implemented database LDAP integration
- Design and implemented performance monitoring system
- Perform system capacity planning

2004-2007

Principal Consultant, Visionary Integration Professionals, LLC, Bloomington, MN

Client: Fortune 50 Retailer

- Designed and implemented a Real-Time Data Warehouse to consolidate data from 28 data sources. This multi-terabyte data warehouse processes and loads data at a rate of over 3000 transactions per second in real-time
- Designed data models for various application components following corporate data modeling standards using ERWin
- Gathered and analyzed business user requirements during Discovery phases for multiple releases of a Real-Time Data Warehouse
- Was identified as the principal performance tuning expert with big-picture and detailed knowledge of the application, hardware, and software
- Guided vendor teams, multiple infrastructure teams (Database, Server, and Storage teams), and the application team through identifying and troubleshooting application performance problems
- Performed application tuning and optimization across all tiers of the application, including Web, database, middleware messaging, source system, server, and storage. Built PL/SQL packages and procedures to process, transform, and load source system messages into the reporting system in real-time and in batch
- Researched and implemented a proof of concept for a messaging application using Oracle Streams
- Designed and implemented a monitoring application for proactive monitoring and alerting for the Data Warehouse
- Performed system capacity planning

2000-2004

Senior Consultant, eLoyalty Corp., Eden Prairie, MN

Client: International Media Company

- Gathered and analyzed end user requirements for a business intelligence and campaign management system
- Designed an Operational Data Store (ODS) and a Data Warehouse to consolidate data from over 20 different sources
- Designed and implemented a process to use over 1.5 billion rows of data from the Data Warehouse for business intelligence reporting and campaign management.
- Built PL/SQL packages and procedures to process data from source raw files and to load final data into the ODS
- Developed reusable Java Components to export data from a database into flat files
- Performed general database administration tasks such as database creation, upgrades, monitoring, capacity planning and management

Client: Fortune 500 Retail Industry Company

- Designed a Data Warehouse for a business intelligence reporting and campaign management system
- Designed and implemented ETL process and components for the Data Warehouse
- As a technical lead on a system integration project to improve performance of a 2 TB Data Warehouse and reduce hardware costs, evaluated, recommended and configured a new StorageTek D280 storage subsystem
- Designed and implemented a reusable backup architecture utilizing the Snapshot

feature of the D280, Veritas NetBackup, and UNIX ksh scripts

- Performed general database administration tasks such as database creation, upgrades, monitoring, capacity planning and management
- Performed system administration

Client: Fortune 100 Telecommunications Industry Company

- Designed a Data Warehouse for a business intelligence reporting and campaign management system
- Designed and implemented ETL process and components for the Data Warehouse
- Implemented Syncsort scripts and Java Components to scrub and process the data according to the business rules
- Tested various storage configurations to come up with the optimal performance configuration while conforming to the system availability requirements
- Migrated three Data Warehouses onto a new storage platform
- Designed and implemented reusable backup architecture utilizing Veritas NetBackup and ksh scripts

Client: Fortune 500 Telecommunications Industry Company

- Designed a Data Warehouse for a business intelligence reporting and campaign management system
- Designed ETL components for the Data Warehouse
- Wrote PL/SQL packages and Java Components to process data according to business rules
- Performed general database administration tasks such as database creation, upgrades, monitoring, capacity planning and management

Client: Retail Industry Company

- Gathered and analyzed findings about database and storage configuration in the Discovery phase of a Data Warehouse tuning project
- Created a Tuning Findings and Recommendations document
- Presented the Tuning Findings and Recommendations document to the client team
- Worked with the client DBA and System Administrator to test and implement some of the recommendations

Client: Retail Industry Company

- Performed database tuning
- Tuned long-running queries
- Performed general database administration tasks such as database creation, upgrades, monitoring, capacity planning and management
- Developed a disk-based database backup script using UNIX ksh to minimize database downtime

1997-2000

Developer and System Administrator, University of Minnesota Cancer Center, Minneapolis, MN

- Gathered and analyzed end user requirements for a clinical trials database
- Developed queries and reports for various databases, including a clinical trials database and an accounting database

- Designed a data model to satisfy business requirements for administrative database
- Installed, configured, and upgraded RDBMS software
- Installed, configured, and upgraded servers and workstations
- Maintained the Cancer Center Web site
- Provided user support and training

Education

Bachelor of Science in Computer Science with Distinction, University of Minnesota, Institute of Technology, Minneapolis, MN June 2000

Institute of Technology Dean's List: Winter 1997, Fall 1998, Winter 1999

GPA: 3.85 of 4.00

Technical Skills

Oracle Certifications - Oracle 11g Certified Professional, Oracle 10g Certified Professional, Oracle9i Certified Professional, Oracle8i Certified Professional

Teradata Certifications - Teradata 12 Certified Professional, Teradata 12 Certified Technical Specialist

DBM - Oracle 11g/10g/9i/8i, Netezza, Teradata, SQL Server, MS Access

ET - SQL, PL/SQL, Syncsort DMEExpress

Modeling Methodologies - Star Schema, Normalized Modeling

Data Modeling Tools - ERWin, Visio, Embarcadero ER/Studio

Database Tools - Quest TOAD, WinSQL, Oracle Enterprise Manager, various database connectivity tools

Languages - SQL, PL/SQL, UNIX Shell programming with ksh, Java, Perl, C, C++

Operating Systems - UNIX, Sun Solaris, Linux, Windows, MacOS

Storage Systems - StorageTek, EMC, Sun, Dell

Messaging Systems - Oracle Streams, SeeBeyond

Productivity Tools - MS Office Suite

Storage/Backup Products - Veritas Database Edition for Oracle, Veritas NetBackup

A.2.7.5 Interface/Data Manager Qualifications – Alex Yevzelman

Required Experience and Qualifications	Meets or Exceeds Requirement	Description of compliance
5 (or 9) Years of Experience implementing health care solutions in environments similar to AME	Yes	The shown on his resume demonstrate that Mr. Yevzelman has nine years of experience in interface for health care solutions similar to the AR DSS project.
Expert Knowledge of Optum Solution	Yes	Mr. Yevzelman has been the Optum lead database architect responsible for numerous healthcare business intelligence solutions similar to the AME DSS and has

Required Experience and Qualifications	Meets or Exceeds Requirement	Description of compliance
		expert knowledge of the Optum solution.
Experience implementing solutions in an integrated environment, employing SOA, and intelligent business routing	Yes	As part of the projects shown on his resume, Mr. Yevzelman was responsible for a wide range of innovative integration projects that are based on services approaches to business intelligence including integrating administrative and clinical data. He has extensive data warehouse experience and has won Optum awards for his innovative approaches to data integration.
The Interface/Data Manager is not required to be on-site full time; however, the Interface/Data Manager will be on-site at the contractor's DDI office as required to clarify requirements or participate in testing or other work as assigned.	Yes	Upon project award
Will work on Project full time	Yes	

A.2.8 Pharmacist

While it is not listed as a key staff position in the RFP, we are showing how the pharmacist position will fit into our management structure and providing the resume for Summer Moody, Pharm.D.,J.D. who we are proposing for this position. Dr. Moody brings excellent credentials and experience to the pharmacy audit position. She is a pharmacist, lawyer and expert witness. Dr. Moody will be provided under our subcontract with National Audit. She currently lives in the Little Rock area and meets the location and licensure requirements of this RFP.

Summer Moody, Pharm.D., J.D.

Pharmacy Manager/ Medical Malpractice Consultant/Expert Witness

Work Experience

Law:

2008-Present	Medical Malpractice Consultant/Expert Witness, Moffitt & Phillips, Attorneys at Law, Arkansas
2011-2011	Pharmacy Malpractice Consultant/Expert Witness, Peter Miller, Attorney at Law, Arkansas
2008-2008	Medical Malpractice Consultant Crumpton & Collins, Attorneys at Law Cabot, Arkansas
2007-2008	Medical Malpractice Consultant E.C. Gilbreth, Attorney at Law
2003-2003	Pharmacy Law Consultant, Gill, Elrod, Ragon, Owen & Sherman, P.A., Arkansas

Pharmacy:

2009-Present	Pharmacy Manager, Fred's Pharmacy #2041, Arkansas
2007-2009	District #7 Relief Coordinator, Fred's Pharmacy, Arkansas
2002-2009	State-wide Relief Pharmacist, Fred's Pharmacy, Arkansas
2002-2002	Research Assistant and Data Analysis, Pfizer, Inc. <ul style="list-style-type: none">■ Respiratory Wellness Survey
2001-2001	Assistant Clinical Research Coordinator, University of Arkansas for Medical Sciences, Arkansas <ul style="list-style-type: none">■ Congestive Heart Failure (CHF)■ Dr. Eugene Smith – Primary Investigator
2000-2002	Assistant Clinical Research Coordinator <ul style="list-style-type: none">■ Comparing Outcomes of Patients Receiving Amlodipine to Patients Receiving Amlodipine/Benazepril Combination■ Development of Patient Consent and Protocol submitted to IRB Central Arkansas Veteran's Healthcare System■ Sponsor: Novartis■ Dr. Eugene Smith, Primary Investigator
1998-2002	Pharmacy Intern, Veteran's Administration Medical Center Outpatient Pharmacy, Arkansas
1997-1998	Pharmacy Technician, Veteran's Administration Medical Center Mail Order Pharmacy, Arkansas
1996-1997	Research Assistant, Veteran's Administration Medical Center, Arkansas <ul style="list-style-type: none">■ HDL-Intervention Trial (HIT Study)■ Dr. Fred Faas – Primary Investigator

Education and Training

Law

University of Arkansas William H. Bowen School of Law, Little Rock, Arkansas, Juris Doctor in December, 2005

American Bar Association Standing Committee on Substance Abuse; 2003, Student Bar Association, Arkansas Association of Women Lawyers, Phi Alpha Delta Legal Fraternity

Pharmacy

University of Arkansas for Medical Sciences, Little Rock, Arkansas, Doctor of Pharmacy in May, 2002

APhA-ASP Region 6 Delegate; 2001, APhA Student Delegate; 2001, Class Vice President; 1998 to 2002, Phi Delta Chi; Vice President 2001 to 2002, Student Society of Health System Pharmacists

Pre-Pharmacy

University of Central Arkansas, Conway, Arkansas, Chemistry Major

ACT Scholarship Recipient, UCA Symphony Scholarship Recipient

Technical Skills

Licensure Arkansas State Board of Pharmacy #09502, Pharmacy Preceptor, Nursing Home Consultant (2002 to 2007) Arkansas Bar #2007091

Certification Medication Therapy Management, Immunization, PTCA Compounding

Publications (Dec 2001) Evaluation of metoprolol therapy in a heart failure population; Abstract. ASHP Midyear Clinical Meeting 2002

Presentations

Law

Significant Laws Affecting Pharmacy Practice Management, Harding College of Pharmacy, Pharmacy Management Class, September 2010

Health Insurance Portability and Accountability Act (HIPAA) updates and OBRA 90 compliance, Harding College of Pharmacy, Pharmacy Management Class, March 2010

Intellectual Property Issues in Bioinformatics University of Arkansas at Little Rock Department of Bioinformatics. Practical Topics in Science Management Course, April 2007

The Evolution of Public Welfare in Arkansas 1939 to present; American Legal History 2003

Pharmacy

The Pathogenesis of GERD and Gastritis; Ambulatory Care Rotation 2001

Evaluation and Management of the Acute Poisoned Patient; Toxicology Presentation, August 2000

Fluids & Electrolytes: Water Balance, Shock and Sodium; Therapeutics Presentation 2000.

A.3 Operations Key Personnel

Our plan for operations personnel is described in Section A.2 and portrayed in Figure A-2. We propose this staffing structure as one that fits the Optum AME DSS solution approach and will serve to promote use of the solution to meet State needs for analysis to support operation and reform of the Arkansas Medicaid Program. To this end, Optum will provide continuation of the Optum Project Manager and Business Solution Manager from the DDI into the Operations period. Mr. Steven Grimshaw and Mr. Steve Quaal, respectively, are designated as the key staff proposed for the Operations period. Ms. Summer Moody will also continue into the Operations period to support the ongoing Pharmacy audit efforts. Credentials are detailed above for the DDI key staff for Mr. Grimshaw, Mr. Quaal and Ms. Moody.

Optum has found that an orderly transition to locally hired staff during Operations is highly effective and desirable. So while maintaining the two identified key staff, Project Manager and Business Analysis Manager, Optum will, during the latter part of the DDI period, hire staff for the other positions identified in Section A.2 for the Operations Period. This allows us to leverage the expertise of the DDI key staff in finding, selecting, and training excellent Operations staff. Mr. Grimshaw and Mr. Quaal will provide a bridge of historical knowledge from DDI into Operations but will also continue the two most critical staff functions of the AME DSS: 1) management and 2) deriving value from it.

Optum recognizes the obligation of designating Mr. Grimshaw and Mr. Quaal as key staff and will not move or replace them without complying with requirements in Section A.2, Key Personnel Positions. If we replace Mr. Grimshaw or Mr. Quaal, Optum will identify replacement candidates at least 90 days prior to commencement of operations (approximately the Contract Award date plus nine (9) months) and seek State's approval.

ID	WBS	Task Name	On Site?	Duration	Start	Finish	Predecessors	Successors	Resource Group	Key Resources
1		AME DSS DRAFT PROJECT WORK PLAN		2031 days?	Tue 4/9/13	Thu 1/28/21				
2	1.1	CONTRACT AWARD & APPROVAL		142 days	Tue 4/9/13	Tue 10/29/13				
3	1.1.1	<i>Contract Anticipation to Award Letter</i>		0 days	Tue 4/9/13	Tue 4/9/13			DHS	DHS
4	1.1.2	<i>Contract Approved and Awarded</i>		0 days	Thu 8/29/13	Thu 8/29/13			DHS	DHS
5	1.1.3	<i>Project Start Date</i>		0 days	Tue 10/29/13	Tue 10/29/13		24SF-1 day	DHS	DHS
6	1.2	PROJECT PRE-PLANNING AND INITIAL DOCUMENTATION PREPARATION		60 days	Fri 8/2/13	Mon 10/28/13				
7	1.2.1	Project Initiation Documentation		60 days	Fri 8/2/13	Mon 10/28/13				
8	1.2.1.1	Develop Initial Data Center Facility Plan Template		60 days	Fri 8/2/13	Mon 10/28/13	5SF-1 day		Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
9	1.2.1.2	Develop Initial Infrastructure Assets Inventory Template (2 sub-components)		60 days	Fri 8/2/13	Mon 10/28/13	5SF-1 day		Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
10	1.2.1.3	Develop Initial Computing Environment Plan Template (8 sub-components)		60 days	Fri 8/2/13	Mon 10/28/13	5SF-1 day		Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
11	1.2.1.4	Develop Initial Project Facility Plan - DDI Project Office Template (3 sub-components)		60 days	Fri 8/2/13	Mon 10/28/13	5SF-1 day		Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
12	1.2.1.5	Develop Initial Project Facility Plan - Operations Template (3 sub-components)		60 days	Fri 8/2/13	Mon 10/28/13	5SF-1 day		Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
13	1.2.2	Project Management Office and Administration Documentation		60 days	Fri 8/2/13	Mon 10/28/13				
14	1.2.2.1	Develop Initial Project Management Plan Template		60 days	Fri 8/2/13	Mon 10/28/13	5SF-1 day		Optum	DDI Manager,Project Manager
15	1.2.2.2	Develop Initial Project Tools and Techniques Deliverables Template (12 sub-components)		60 days	Fri 8/2/13	Mon 10/28/13	5SF-1 day		Optum	DDI Manager,Project Manager
16	1.2.2.3	Develop Initial Project Methods and Procedures Template (5 sub-components)		60 days	Fri 8/2/13	Mon 10/28/13	5SF-1 day		Optum	DDI Manager,Project Manager
17	1.2.2.4	Develop Initial Performance Management Process - DDI Phases Template		60 days	Fri 8/2/13	Mon 10/28/13	5SF-1 day		Optum	DDI Manager,Project Manager
18	1.2.2.5	Develop Initial Project Initiation, Management and Administration Setup Template (2 sub-components)		60 days	Fri 8/2/13	Mon 10/28/13	5SF-1 day		Optum	DDI Manager,Project Manager
19	1.2.3	Project Work Plan		60 days	Fri 8/2/13	Mon 10/28/13				
20	1.2.3.1	Develop Detailed Preliminary Project Work Plan		60 days	Fri 8/2/13	Mon 10/28/13	5SF-1 day		Optum	DDI Manager,Project Manager
21	1.2.4	Project Kickoff Meeting Planning		60 days	Fri 8/2/13	Mon 10/28/13				
22	1.2.4.1	Determine Meeting Location and Attendees		60 days	Fri 8/2/13	Mon 10/28/13	5SF-1 day		Optum	Project Manager,DDI Manager
23	1.2.4.2	Develop Detailed Meeting Agenda		60 days	Fri 8/2/13	Mon 10/28/13	5SF-1 day		Optum	DDI Manager,Project Manager
24	1.2.4.3	Invite Attendees		60 days	Fri 8/2/13	Mon 10/28/13	5SF-1 day		Optum	DDI Manager,Project Manager
25	1.3	PHASE I - PROJECT PLANNING AND STARTUP		38 days	Tue 10/29/13	Tue 12/24/13				
26	1.3.1	SDLC STAGE 1 - PLANNING		38 days	Tue 10/29/13	Tue 12/24/13				
27	1.3.1.1	PROJECT KICKOFF MEETING		4 days	Tue 10/29/13	Fri 11/1/13				
28	1.3.1.1.1	Determine Planning Kick-off Meeting Objectives	X	4 days	Tue 10/29/13	Fri 11/1/13	5	34	DHS,Optum	ta Manager,DDI Manager,DDI Technical Solutions Manager,DDI Testing Manager
29	1.3.1.1.2	Review Roles, Responsibilities, Communication and Scope of Services	X	4 days	Tue 10/29/13	Fri 11/1/13	5	34	DHS,Optum	ta Manager,DDI Manager,DDI Technical Solutions Manager,DDI Testing Manager
30	1.3.1.1.3	Review Preliminary Master Project Work Plan	X	4 days	Tue 10/29/13	Fri 11/1/13	5	34	DHS,Optum	ta Manager,DDI Manager,DDI Technical Solutions Manager,DDI Testing Manager
31	1.3.1.1.4	Review Project Initiation and PMO Documentation Templates	X	4 days	Tue 10/29/13	Fri 11/1/13	5	34	DHS,Optum	ta Manager,DDI Manager,DDI Technical Solutions Manager,DDI Testing Manager
32	1.3.1.1.5	Schedule Follow-up Meetings to support Phase 1 Objectives by Business and Functional Area	X	4 days	Tue 10/29/13	Fri 11/1/13	5	34	DHS,Optum	DHS,DDI Business Analytics Manager,Project Manager,DDI Documentation/Training Manager,DDI Interface Data Manager,DDI Manager,DDI
33	1.3.1.1.6	Establish Schedules for Recurring Meetings and Status Reporting	X	4 days	Tue 10/29/13	Fri 11/1/13	5	34	DHS,Optum	ta Manager,DDI Manager,DDI Technical Solutions Manager,DDI Testing Manager
34	1.3.1.1.7	<i>Project Kickoff Meeting Complete</i>		0 days	Fri 11/1/13	Fri 11/1/13	28,33,32,30,29	76,78,89,80		
35	1.3.1.2	Project Planning and Startup Deliverables		34 days	Mon 11/4/13	Tue 12/24/13		3FS-25 days		
36	1.3.1.2.1	Planning Kick-off Meeting Required Deliverables		34 days	Mon 11/4/13	Tue 12/24/13				
37	1.3.1.2.1.1	Incoming Orientation Plan		29 days	Mon 11/4/13	Tue 12/17/13				
38	1.3.1.2.1.1.1	Develop Incoming Orientation Plan		15 days	Mon 11/4/13	Mon 11/25/13	34	39	Optum	DDI Manager,Project Manager
39	1.3.1.2.1.1.2	<i>Review Incoming Orientation Plan</i>	X	10 days	Tue 11/26/13	Wed 12/11/13	38	40	DHS	DHS
40	1.3.1.2.1.1.3	Revise Incoming Orientation Plan		2 days	Thu 12/12/13	Fri 12/13/13	39	41	Optum	DDI Manager,Project Manager
41	1.3.1.2.1.1.4	<i>Review and Approve Revised Incoming Orientation Plan</i>	X	2 days	Mon 12/16/13	Tue 12/17/13	40		DHS	DHS
42	1.3.1.2.1.2	Contractor Documentation		29 days	Mon 11/4/13	Tue 12/17/13				
43	1.3.1.2.1.2.1	Develop Contractor Documentation		15 days	Mon 11/4/13	Mon 11/25/13	34	44	Optum	DDI Manager,Project Manager
44	1.3.1.2.1.2.2	<i>Review Contractor Documentation</i>	X	10 days	Tue 11/26/13	Wed 12/11/13	43	45	DHS	DHS
45	1.3.1.2.1.2.3	Revise Contractor Documentation		2 days	Thu 12/12/13	Fri 12/13/13	44	46	Optum	DDI Manager,Project Manager
46	1.3.1.2.1.2.4	<i>Review and Approve Revised Contractor Documentation</i>	X	2 days	Mon 12/16/13	Tue 12/17/13	45		DHS	DHS
47	1.3.1.2.1.3	Requirements Traceability Matrix (RTM)		29 days	Mon 11/4/13	Tue 12/17/13				
48	1.3.1.2.1.3.1	Develop Updated Phase 1 RTM		15 days	Mon 11/4/13	Mon 11/25/13	34	49	Optum	DDI Manager,Project Manager,DDI Business Analytics Manager
49	1.3.1.2.1.3.2	<i>Review Updated Phase 1 RTM</i>	X	10 days	Tue 11/26/13	Wed 12/11/13	48	50	DHS	DHS
50	1.3.1.2.1.3.3	Revise Updated Phase 1 RTM		2 days	Thu 12/12/13	Fri 12/13/13	49	51	Optum	DDI Manager,Project Manager,DDI Business Analytics Manager
51	1.3.1.2.1.3.4	<i>Review and Approve Updated Phase 1 RTM</i>	X	2 days	Mon 12/16/13	Tue 12/17/13	50		DHS	DHS
52	1.3.1.2.1.4	Systems Engineering Management Plan (SEMP) Engineering Requirements (all components and services)		29 days	Mon 11/4/13	Tue 12/17/13				

ID	WBS	Task Name	On Site?	Duration	Start	Finish	Predecessors	Successors	Resource Group	Key Resources
53	1.3.1.2.1.4.1	Develop Updated Phase 1 SEMP		15 days	Mon 11/4/13	Mon 11/25/13	34	54	Optum	ager,DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
54	1.3.1.2.1.4.2	<i>Review Updated Phase 1 SEMP</i>	X	10 days	Tue 11/26/13	Wed 12/11/13	53	55	DHS	DHS
55	1.3.1.2.1.4.3	Revise Updated Phase 1 SEMP		2 days	Thu 12/12/13	Fri 12/13/13	54	56	Optum	ager,DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
56	1.3.1.2.1.4.4	<i>Review and Approve Updated Phase 1 SEMP</i>	X	2 days	Mon 12/16/13	Tue 12/17/13	55		DHS	DHS
57	1.3.1.2.1.5	Test and Evaluation Management Plan (TEMP) (all components and services)		29 days	Mon 11/4/13	Tue 12/17/13				
58	1.3.1.2.1.5.1	Develop Updated Phase 1 TEMP		15 days	Mon 11/4/13	Mon 11/25/13	34	59	Optum	Project Manager,DDI Manager,DDI Testing Manager
59	1.3.1.2.1.5.2	<i>Review Updated Phase 1 TEMP</i>	X	10 days	Tue 11/26/13	Wed 12/11/13	58	60	DHS	DHS
60	1.3.1.2.1.5.3	Revise Updated Phase 1 TEMP		2 days	Thu 12/12/13	Fri 12/13/13	59	61	Optum	Project Manager,DDI Manager,DDI Testing Manager
61	1.3.1.2.1.5.4	<i>Review and Approve Revised Updated Phase 1 TEMP</i>	X	2 days	Mon 12/16/13	Tue 12/17/13	60		DHS	DHS
62	1.3.1.2.1.6	Performance Management Plan – Operations		10 days	Mon 11/4/13	Mon 11/18/13				
63	1.3.1.2.1.6.1	Develop Initial Performance Management Plan Template		10 days	Mon 11/4/13	Mon 11/18/13	34		Optum	DDI Manager,Project Manager
64	1.3.1.2.1.7	Data Center Computing Environment - Specifications Plan		34 days	Mon 11/4/13	Tue 12/24/13				
65	1.3.1.2.1.7.1	Develop Initial Data Center Computing Environment - Specifications Plan		20 days	Mon 11/4/13	Wed 12/4/13	34	66	Optum	ager,DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
66	1.3.1.2.1.7.2	<i>Review Data Center Computing Environment - Specifications Plan</i>	X	10 days	Thu 12/5/13	Wed 12/18/13	65	67	DHS	DHS
67	1.3.1.2.1.7.3	Revise Data Center Computing Environment - Specifications Plan		2 days	Thu 12/19/13	Fri 12/20/13	66	68	Optum	ager,DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
68	1.3.1.2.1.7.4	<i>Review and Approve Revised Data Center Computing Environment - Specifications Plan</i>	X	2 days	Mon 12/23/13	Tue 12/24/13	67		DHS	DHS
69	1.3.1.2.1.8	Technical Infrastructure Plan (TIP)		10 days	Mon 11/4/13	Mon 11/18/13				
70	1.3.1.2.1.8.1	Develop Technical infrastructure Plan (TIP) Template		10 days	Mon 11/4/13	Mon 11/18/13	34		Optum	Project Manager,DDI Manager,DDI Technical Solutions Manager
71	1.3.1.2.1.9	Configuration and Integration Plan (CIP)		10 days	Mon 11/4/13	Mon 11/18/13				
72	1.3.1.2.1.9.1	Develop Configuration and Integration Plan (CIP) Template		10 days	Mon 11/4/13	Mon 11/18/13	34		Optum	ager,DDI Manager,DDI Technical Solutions Manager,DDI Interface Data Manager
73	1.3.1.2.1.10	Configuration Management Plan		10 days	Mon 11/4/13	Mon 11/18/13				
74	1.3.1.2.1.10.1	Develop Configuration Management Plan Template		10 days	Mon 11/4/13	Mon 11/18/13	34		Optum	Project Manager,DDI Manager,DDI Technical Solutions Manager
75	1.3.1.2.1.11	Defect Identification and Problem Resolution Plan (DIPRP)		10 days	Mon 11/4/13	Mon 11/18/13				
76	1.3.1.2.1.11.1	Develop DIPRP Template		10 days	Mon 11/4/13	Mon 11/18/13	34		Optum	Project Manager,DDI Manager
77	1.3.1.2.1.12	Score Card Criteria Plan Template		10 days	Mon 11/4/13	Mon 11/18/13				
78	1.3.1.2.1.12.1	Develop Score Card Criteria Plan Template		10 days	Mon 11/4/13	Mon 11/18/13	34		Optum	Project Manager,DDI Manager
79	1.3.1.2.1.13	Project Turnover Management Plan		10 days	Mon 11/4/13	Mon 11/18/13				
80	1.3.1.2.1.13.1	Develop Project Turnover Management Plan Template		10 days	Mon 11/4/13	Mon 11/18/13	34		Optum	Project Manager,DDI Manager
81	1.3.1.2.1.14	Training Master Plan		10 days	Mon 11/4/13	Mon 11/18/13				
82	1.3.1.2.1.14.1	Develop Initial Training Master Plan Template		10 days	Mon 11/4/13	Mon 11/18/13	34		Optum	Project Manager,DDI Manager,DDI Documentation/Training Manager
83	1.3.1.2.1.15	Staffing Management Plan		34 days	Mon 11/4/13	Tue 12/24/13				
84	1.3.1.2.1.15.1	Develop Staffing Management Plan		20 days	Mon 11/4/13	Wed 12/4/13	34	85	Optum	Project Manager
85	1.3.1.2.1.15.2	<i>Review Staffing Management Plan</i>	X	10 days	Thu 12/5/13	Wed 12/18/13	84	86	DHS	DHS
86	1.3.1.2.1.15.3	Revise Staffing Management Plan		2 days	Thu 12/19/13	Fri 12/20/13	85	87	Optum	Project Manager
87	1.3.1.2.1.15.4	<i>Review and Approve Revised Staffing Management Plan</i>	X	2 days	Mon 12/23/13	Tue 12/24/13	86		DHS	DHS
88	1.3.1.2.1.16	Phase I Completion Report		10 days	Mon 11/4/13	Mon 11/18/13				
89	1.3.1.2.1.16.1	Develop Phase I Completion Report Template		10 days	Mon 11/4/13	Mon 11/18/13	34		Optum	Project Manager,DDI Manager
90	1.3.1.2.2	Project Initiation Documentation		34 days	Mon 11/4/13	Tue 12/24/13				
91	1.3.1.2.2.1	Data Center Facility Plan		34 days	Mon 11/4/13	Tue 12/24/13				
92	1.3.1.2.2.1.1	Develop Initial Data Center Facility Plan		20 days	Mon 11/4/13	Wed 12/4/13	34	93	Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
93	1.3.1.2.2.1.2	<i>Review Data Center Facility Plan</i>	X	10 days	Thu 12/5/13	Wed 12/18/13	92	94	DHS	DHS
94	1.3.1.2.2.1.3	Revise Initial Data Center Facility Plan		2 days	Thu 12/19/13	Fri 12/20/13	93	95	Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
95	1.3.1.2.2.1.4	<i>Review and Approve Revised Data Center Facility Plan</i>	X	2 days	Mon 12/23/13	Tue 12/24/13	94		DHS	DHS
96	1.3.1.2.2.2	Infrastructure Assets Inventory (2 sub-components)		29 days	Mon 11/4/13	Tue 12/17/13				
97	1.3.1.2.2.2.1	Develop Initial Infrastructure Assets Inventory		15 days	Mon 11/4/13	Mon 11/25/13	34	98	Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
98	1.3.1.2.2.2.2	<i>Review Infrastructure Assets Inventory</i>	X	10 days	Tue 11/26/13	Wed 12/11/13	97	99	DHS	DHS
99	1.3.1.2.2.2.3	Revise Infrastructure Assets Inventory		2 days	Thu 12/12/13	Fri 12/13/13	98	100	Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
100	1.3.1.2.2.2.4	<i>Review and Approve Revised Infrastructure Assets Inventory</i>	X	2 days	Mon 12/16/13	Tue 12/17/13	99		DHS	DHS
101	1.3.1.2.2.3	Computing Environment Plan (8 sub-components)		34 days	Mon 11/4/13	Tue 12/24/13				
102	1.3.1.2.2.3.1	Develop Initial Computing Environment Plan		20 days	Mon 11/4/13	Wed 12/4/13	34	103	Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
103	1.3.1.2.2.3.2	<i>Review Computing Environment Plan</i>	X	10 days	Thu 12/5/13	Wed 12/18/13	102	104	DHS	DHS
104	1.3.1.2.2.3.3	Revise Computing Environment Plan		2 days	Thu 12/19/13	Fri 12/20/13	103	105	Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
105	1.3.1.2.2.3.4	<i>Review and Approve Revised Computing Environment Plan</i>	X	2 days	Mon 12/23/13	Tue 12/24/13	104		DHS	DHS
106	1.3.1.2.2.4	Project Facility Plan - DDI Project Office (3 sub-components)		34 days	Mon 11/4/13	Tue 12/24/13				

ID	WBS	Task Name	On Site?	Duration	Start	Finish	Predecessors	Successors	Resource Group	Key Resources
107	1.3.1.2.2.4.1	Develop Initial Project Facility Plan - DDI Project Office		20 days	Mon 11/4/13	Wed 12/4/13	34	108	Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
108	1.3.1.2.2.4.2	<i>Review Project Facility Plan - DDI Project Office</i>	X	10 days	Thu 12/5/13	Wed 12/18/13	107	109	DHS	DHS
109	1.3.1.2.2.4.3	Revise Project Facility Plan - DDI Project Office		2 days	Thu 12/19/13	Fri 12/20/13	108	110	Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
110	1.3.1.2.2.4.4	<i>Review and Approve Revised Project Facility Plan - DDI Project Office</i>	X	2 days	Mon 12/23/13	Tue 12/24/13	109		DHS	DHS
111	1.3.1.2.2.5	Project Facility Plan - Operations (3 sub-components)		24 days	Mon 11/4/13	Tue 12/10/13				
112	1.3.1.2.2.5.1	Develop Initial Project Facility Plan - Operations		10 days	Mon 11/4/13	Mon 11/18/13	34	113	Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
113	1.3.1.2.2.5.2	<i>Review Project Facility Plan - Operations</i>	X	10 days	Tue 11/19/13	Wed 12/4/13	112	114	DHS	DHS
114	1.3.1.2.2.5.3	Revise Project Facility Plan - Operations		2 days	Thu 12/5/13	Fri 12/6/13	113	115	Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
115	1.3.1.2.2.5.4	<i>Review and Approve Revised Project Facility Plan - Operations</i>	X	2 days	Mon 12/9/13	Tue 12/10/13	114		DHS	DHS
116	1.3.1.2.3	Project Management Office and Administration Documentation		34 days	Mon 11/4/13	Tue 12/24/13				
117	1.3.1.2.3.1	Project Management Plan		34 days	Mon 11/4/13	Tue 12/24/13				
118	1.3.1.2.3.1.1	Develop Initial Project Management Plan		20 days	Mon 11/4/13	Wed 12/4/13	34	119	Optum	Project Manager,DDI Manager
119	1.3.1.2.3.1.2	<i>Review Project Management Plan</i>	X	10 days	Thu 12/5/13	Wed 12/18/13	118	120	DHS	DHS
120	1.3.1.2.3.1.3	Revise Project Management Plan		2 days	Thu 12/19/13	Fri 12/20/13	119	121	Optum	Project Manager,DDI Manager
121	1.3.1.2.3.1.4	<i>Review and Approve Revised Project Management Plan</i>	X	2 days	Mon 12/23/13	Tue 12/24/13	120		DHS	DHS
122	1.3.1.2.3.2	Project Tools and Techniques Deliverables (12 sub-components)		24 days	Mon 11/4/13	Tue 12/10/13				
123	1.3.1.2.3.2.1	Develop Initial Project Tools and Techniques Deliverables		10 days	Mon 11/4/13	Mon 11/18/13	34	124	Optum	Project Manager,DDI Manager
124	1.3.1.2.3.2.2	<i>Review Project Tools and Techniques Deliverables</i>	X	10 days	Tue 11/19/13	Wed 12/4/13	123	125	DHS	DHS
125	1.3.1.2.3.2.3	Revise Project Tools and Techniques Deliverables		2 days	Thu 12/5/13	Fri 12/6/13	124	126	Optum	Project Manager,DDI Manager
126	1.3.1.2.3.2.4	<i>Review and Approve Revised Project Tools and Techniques Deliverables</i>	X	2 days	Mon 12/9/13	Tue 12/10/13	125		DHS	DHS
127	1.3.1.2.3.3	Project Methods and Procedures (5 sub-components)		24 days	Mon 11/4/13	Tue 12/10/13				
128	1.3.1.2.3.3.1	Develop Initial Project Methods and Procedures		10 days	Mon 11/4/13	Mon 11/18/13	34	129	Optum	Project Manager,DDI Manager
129	1.3.1.2.3.3.2	<i>Review Project Methods and Procedures</i>	X	10 days	Tue 11/19/13	Wed 12/4/13	128	130	DHS	DHS
130	1.3.1.2.3.3.3	Revise Project Methods and Procedures		2 days	Thu 12/5/13	Fri 12/6/13	129	131	Optum	Project Manager,DDI Manager
131	1.3.1.2.3.3.4	<i>Review and Approve Revised Project Methods and Procedures</i>	X	2 days	Mon 12/9/13	Tue 12/10/13	130		DHS	DHS
132	1.3.1.2.3.4	Performance Management Process - DDI Phases		24 days	Mon 11/4/13	Tue 12/10/13				
133	1.3.1.2.3.4.1	Develop Initial Performance Management Process - DDI Phases		10 days	Mon 11/4/13	Mon 11/18/13	34	134	Optum	Project Manager,DDI Manager
134	1.3.1.2.3.4.2	<i>Review Performance Management Process - DDI Phases</i>	X	10 days	Tue 11/19/13	Wed 12/4/13	133	135	DHS	DHS
135	1.3.1.2.3.4.3	Revise Performance Management Process - DDI Phases		2 days	Thu 12/5/13	Fri 12/6/13	134	136	Optum	Project Manager,DDI Manager
136	1.3.1.2.3.4.4	<i>Review and Approve Revised Performance Management Process - DDI Phases</i>	X	2 days	Mon 12/9/13	Tue 12/10/13	135		DHS	DHS
137	1.3.1.2.3.5	Project Initiation, Management and Administration Setup (2 sub-components)		24 days	Mon 11/4/13	Tue 12/10/13				
138	1.3.1.2.3.5.1	Develop Initial Project Initiation, Management and Administration Setup		10 days	Mon 11/4/13	Mon 11/18/13	34	139	Optum	Project Manager,DDI Manager
139	1.3.1.2.3.5.2	<i>Review Project Initiation, Management and Administration Setup</i>	X	10 days	Tue 11/19/13	Wed 12/4/13	138	140	DHS	DHS
140	1.3.1.2.3.5.3	Revise Project Initiation, Management and Administration Setup		2 days	Thu 12/5/13	Fri 12/6/13	139	141	Optum	Project Manager,DDI Manager
141	1.3.1.2.3.5.4	<i>Review and Approve Revised Project Initiation, Management and Administration Setup</i>	X	2 days	Mon 12/9/13	Tue 12/10/13	140		DHS	DHS
142	1.3.1.2.4	Technical Architecture Specifications		34 days	Mon 11/4/13	Tue 12/24/13				
143	1.3.1.2.4.1	Technical Architecture Specifications Components		20 days	Mon 11/4/13	Wed 12/4/13				
144	1.3.1.2.4.1.1	Technical Services Requirements (Attachment G2)		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
145	1.3.1.2.4.1.2	Technical Infrastructure Plan (TIP) (6 sub-components)		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
146	1.3.1.2.4.1.3	Software and Services Implementation Plan		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
147	1.3.1.2.4.1.4	Shared Services Implementation Plan		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
148	1.3.1.2.4.1.5	Federal Certification Criteria / Mapping Plan		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
149	1.3.1.2.4.1.6	Configuration and Integration Plan (Hardware and Networks)		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
150	1.3.1.2.4.1.7	Configuration Management Plan (System and Services Software)		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
151	1.3.1.2.4.1.8	Defect Identification and Resolution Plan		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
152	1.3.1.2.4.2	Develop Initial Technical Architecture Specifications		20 days	Mon 11/4/13	Wed 12/4/13	34	153	Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
153	1.3.1.2.4.3	<i>Review Technical Architecture Specifications</i>	X	10 days	Thu 12/5/13	Wed 12/18/13	152	154	DHS	DHS
154	1.3.1.2.4.4	Revise Technical Architecture Specifications		2 days	Thu 12/19/13	Fri 12/20/13	153	155	Optum	DDI Technical Solutions Manager,DDI Manager,Project Manager
155	1.3.1.2.4.5	<i>Review and Approve Revised Technical Architecture Specifications</i>	X	2 days	Mon 12/23/13	Tue 12/24/13	154		DHS	DHS
156	1.3.1.2.5	Information Architecture Specifications		34 days	Mon 11/4/13	Tue 12/24/13				
157	1.3.1.2.5.1	Information Architecture Specifications Components		20 days	Mon 11/4/13	Wed 12/4/13				
158	1.3.1.2.5.1.1	Data Management Requirements		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	e Data Manager,DDI Manager,DDI Technical Solutions Manager,Project Manager
159	1.3.1.2.5.1.2	Data Conversion and Migration Plan		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	e Data Manager,DDI Manager,DDI Technical Solutions Manager,Project Manager
160	1.3.1.2.5.1.3	Data Models and Data Dictionaries		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	e Data Manager,DDI Manager,DDI Technical Solutions Manager,Project Manager



ID	WBS	Task Name	On Site?	Duration	Start	Finish	Predecessors	Successors	Resource Group	Key Resources
161	1.3.1.2.5.2	Develop Initial Information Architecture Specifications		20 days	Mon 11/4/13	Wed 12/4/13	34	162	Optum	e Data Manager,DDI Manager,DDI Technical Solutions Manager,Project Manager
162	1.3.1.2.5.3	<i>Review Information Architecture Specifications</i>	X	10 days	Thu 12/5/13	Wed 12/18/13	161	163	DHS	DHS
163	1.3.1.2.5.4	Revise Information Architecture Specifications		2 days	Thu 12/19/13	Fri 12/20/13	162	164	Optum	e Data Manager,DDI Manager,DDI Technical Solutions Manager,Project Manager
164	1.3.1.2.5.5	<i>Review and Approve Revised Information Architecture Specifications</i>	X	2 days	Mon 12/23/13	Tue 12/24/13	163		DHS	DHS
165	1.3.1.2.6	Business Architecture Specifications		34 days	Mon 11/4/13	Tue 12/24/13				
166	1.3.1.2.6.1	Business Architecture Specifications Components		20 days	Mon 11/4/13	Wed 12/4/13				
167	1.3.1.2.6.1.1	Facility Blueprints (Facility, Function, Work Group)		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	DDI Manager,DDI Technical Solutions Manager,Project Manager
168	1.3.1.2.6.1.2	Facility Equipment, Engineering, and Test Plan		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	DDI Manager,DDI Technical Solutions Manager,Project Manager
169	1.3.1.2.6.1.3	Services (Exchange/Messaging) Activation Plan		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	er,DDI Technical Solutions Manager,Project Manager,DDI Interface Data Manager
170	1.3.1.2.6.1.4	Services Requirements (G3)		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	DI Technical Solutions Manager,Project Manager,DDI Business Analytics Manager
171	1.3.1.2.6.1.5	Services Workflow Analysis and Design Plan		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	ons Manager,Project Manager,DDI Business Analyst,DDI Interface Data Manager
172	1.3.1.2.6.1.6	Services Acceptance Test Plan		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	Business Analytics Manager,DDI Manager,DDI Testing Manager,Project Manager
173	1.3.1.2.6.1.7	Services Training Plan		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	DDI Documentation/Training Manager,DDI Manager,Project Manager
174	1.3.1.2.6.1.8	Services Rollout Plan		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	DDI Documentation/Training Manager,DDI Manager,Project Manager
175	1.3.1.2.6.1.9	Services Assurance Plan (post-installation)		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	DDI Manager,Project Manager
176	1.3.1.2.6.1.10	Score Card Criteria Plan		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	DDI Manager,Project Manager
177	1.3.1.2.6.1.11	Project Turnover Management Plan (High-Level)		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	DDI Manager,Project Manager
178	1.3.1.2.6.2	Develop Initial Business Architecture Specifications		20 days	Mon 11/4/13	Wed 12/4/13	34	179	Optum	DDI Manager,Project Manager
179	1.3.1.2.6.3	<i>Review Business Architecture Specifications</i>	X	10 days	Thu 12/5/13	Wed 12/18/13	178	180	DHS	DHS
180	1.3.1.2.6.4	Revise Business Architecture Specifications		2 days	Thu 12/19/13	Fri 12/20/13	179	181	Optum	DDI Manager,Project Manager
181	1.3.1.2.6.5	<i>Review and Approve Revised Business Architecture Specifications</i>	X	2 days	Mon 12/23/13	Tue 12/24/13	180		DHS	DHS
182	1.3.1.3	Phase I Completion Report		24 days	Mon 11/18/13	Mon 12/23/13		187		
183	1.3.1.3.1	Develop Initial Phase I Completion Report		10 days	Mon 11/18/13	Tue 12/3/13	35FS-25 days	184	Optum	DDI Manager,Project Manager
184	1.3.1.3.2	<i>Review Phase I Completion Report</i>	X	10 days	Wed 12/4/13	Tue 12/17/13	183	185	DHS	DHS
185	1.3.1.3.3	Revise Phase I Completion Report		2 days	Wed 12/18/13	Thu 12/19/13	184	186	Optum	DDI Manager,Project Manager
186	1.3.1.3.4	<i>Review and Approve Revised Phase I Completion Report</i>	X	2 days	Fri 12/20/13	Mon 12/23/13	185		DHS	DHS
187	1.3.2	MILESTONE: COMPLETION OF PHASE I - PROJECT PLANNING AND STARTUP		0 days	Mon 12/23/13	Mon 12/23/13	182	9FS+6 days		
188	1.4	PHASE II – INFRASTRUCTURE AND DEVELOPMENT, CONFIGURATION AND IMPLEMENTATION		175 days	Thu 1/2/14	Wed 9/3/14				
189	1.4.1	INFRASTRUCTURE AND DEVELOPMENT		29 days	Fri 2/7/14	Wed 3/19/14				
190	1.4.1.1	Technical Architecture Design		29 days	Fri 2/7/14	Wed 3/19/14				
191	1.4.1.1.1	Technical Infrastructure Deployment Specifications and Guide		29 days	Fri 2/7/14	Wed 3/19/14				
192	1.4.1.1.1.1	Develop Initial Technical Infrastructure Deployment Specifications and Guide		15 days	Fri 2/7/14	Thu 2/27/14	234	193	Optum	Project Manager,DDI Manager,DDI Technical Solutions Manager
193	1.4.1.1.1.2	<i>Review Technical Infrastructure Deployment Specifications and Guide</i>	X	10 days	Fri 2/28/14	Thu 3/13/14	192	194	DHS	DHS
194	1.4.1.1.1.3	Revise Technical Infrastructure Deployment Specifications and Guide		2 days	Fri 3/14/14	Mon 3/17/14	193	195	Optum	Project Manager,DDI Manager,DDI Technical Solutions Manager
195	1.4.1.1.1.4	<i>Review and Approve Revised Technical Infrastructure Deployment Specifications and Guide</i>	X	2 days	Tue 3/18/14	Wed 3/19/14	194		DHS	DHS
196	1.4.1.1.2	Prepare and Deliver Technical Infrastructure Administration Procedures		10 days	Fri 2/7/14	Thu 2/20/14	234		Optum	DDI Manager,DDI Technical Solutions Manager,Project Manager
197	1.4.1.1.3	Prepare and Deliver Technical Infrastructure Review and Acceptance Report		10 days	Fri 2/7/14	Thu 2/20/14	234		Optum	DDI Manager,DDI Technical Solutions Manager,Project Manager
198	1.4.1.1.4	Update Configuration and Integration Plan		24 days	Fri 2/7/14	Wed 3/12/14				
199	1.4.1.1.4.1	Update and deliver Configuration and Integration Plan.		10 days	Fri 2/7/14	Thu 2/20/14	234	200	Optum	DDI Manager,DDI Technical Solutions Manager,Project Manager
200	1.4.1.1.4.2	<i>Review Updated Configuration and Integration Plan</i>	X	10 days	Fri 2/21/14	Thu 3/6/14	199	201	DHS	DHS
201	1.4.1.1.4.3	Revise Updated Configuration and Integration Plan		2 days	Fri 3/7/14	Mon 3/10/14	200	202	Optum	Project Manager,DDI Manager,DDI Technical Solutions Manager
202	1.4.1.1.4.4	<i>Review and Approve Updated Configuration and Integration Plan</i>	X	2 days	Tue 3/11/14	Wed 3/12/14	201		DHS	DHS
203	1.4.2	CONFIGURATION AND INTEGRATION		175 days	Thu 1/2/14	Wed 9/3/14				
204	1.4.2.1	SDLC STAGE 2 - REQUIREMENTS VALIDATION		26 days	Thu 1/2/14	Thu 2/6/14				
205	1.4.2.1.1	Requirements Validation JAD Sessions		12 days	Thu 1/2/14	Fri 1/17/14				
206	1.4.2.1.1.1	Integration Requirement Validation JAD Sessions	X	4 days	Thu 1/2/14	Tue 1/7/14		221,222		
207	1.4.2.1.1.1.1	<i>Configuration Requirements</i>	X	4 days	Thu 1/2/14	Tue 1/7/14	187FS+6 days		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager
208	1.4.2.1.1.1.2	<i>Environmental Requirements</i>	X	4 days	Thu 1/2/14	Tue 1/7/14	187FS+6 days		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager
209	1.4.2.1.1.1.3	<i>Network Requirements</i>	X	4 days	Thu 1/2/14	Tue 1/7/14	187FS+6 days		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager
210	1.4.2.1.1.1.4	<i>Usability and Accessibility Requirements</i>	X	4 days	Thu 1/2/14	Tue 1/7/14	187FS+6 days		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager
211	1.4.2.1.1.1.5	<i>Technical Coordination</i>	X	4 days	Thu 1/2/14	Tue 1/7/14	187FS+6 days		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager
212	1.4.2.1.1.1.6	<i>Training Requirements</i>	X	4 days	Thu 1/2/14	Tue 1/7/14	187FS+6 days		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager
213	1.4.2.1.1.1.7	<i>Interface Requirements</i>	X	4 days	Thu 1/2/14	Tue 1/7/14	187FS+6 days		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager
214	1.4.2.1.1.1.8	<i>Electronic Documentation Requirements</i>	X	4 days	Thu 1/2/14	Tue 1/7/14	187FS+6 days		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager



ID	WBS	Task Name	On Site?	Duration	Start	Finish	Predecessors	Successors	Resource Group	Key Resources
215	1.4.2.1.1.1.9	<i>Rules Management Concept</i>	X	4 days	Thu 1/2/14	Tue 1/7/14	187FS+6 days		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager
216	1.4.2.1.1.1.10	<i>Systems Performance Management</i>	X	4 days	Thu 1/2/14	Tue 1/7/14	187FS+6 days		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager
217	1.4.2.1.1.1.11	<i>Performance Objectives - State</i>	X	4 days	Thu 1/2/14	Tue 1/7/14	187FS+6 days		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager
218	1.4.2.1.1.1.12	<i>Performance Responsibilities - Contractor</i>	X	4 days	Thu 1/2/14	Tue 1/7/14	187FS+6 days		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager
219	1.4.2.1.1.1.13	<i>DSS Performance Standards</i>	X	4 days	Thu 1/2/14	Tue 1/7/14	187FS+6 days		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager
220	1.4.2.1.1.2	Services Requirements Validation JAD Sessions	X	4 days	Wed 1/8/14	Mon 1/13/14		224,225		
221	1.4.2.1.1.2.1	<i>Program Integrity and Decision Support Services</i>	X	4 days	Wed 1/8/14	Mon 1/13/14	206		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager
222	1.4.2.1.1.2.2	<i>Services Staffing Skill Set Requirements</i>	X	4 days	Wed 1/8/14	Mon 1/13/14	206		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager
223	1.4.2.1.1.3	Systems Requirements Validation JAD Sessions	X	4 days	Tue 1/14/14	Fri 1/17/14		226		
224	1.4.2.1.1.3.1	<i>Federal Requirements</i>	X	4 days	Tue 1/14/14	Fri 1/17/14	220		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager
225	1.4.2.1.1.3.2	<i>State-Defined Requirements</i>	X	4 days	Tue 1/14/14	Fri 1/17/14	220		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager
226	1.4.2.1.2	Milestone: Requirements Validation JAD Sessions Complete		0 days	Fri 1/17/14	Fri 1/17/14	223	228FF		
227	1.4.2.1.3	Requirements Traceability Matrix		24 days	Mon 1/6/14	Thu 2/6/14				
228	1.4.2.1.3.1	Analyze Requirements and Update Requirements Database and RTM		10 days	Mon 1/6/14	Fri 1/17/14	226FF	29FS-5 days	Optum	er,Project Manager,DDI Business Analytics Manager,DDI Technical Solutions Manager,Project Manager
229	1.4.2.1.3.2	Provide Updated Requirements Traceability Matrix		10 days	Mon 1/13/14	Fri 1/24/14	228FS-5 days	230	Optum	er,Project Manager,DDI Business Analytics Manager,DDI Technical Solutions Manager
230	1.4.2.1.3.3	<i>Review Updated Requirements Traceability Matrix</i>	X	5 days	Mon 1/27/14	Fri 1/31/14	229	231	DHS	DHS
231	1.4.2.1.3.4	Revise Requirements Traceability Matrix		2 days	Mon 2/3/14	Tue 2/4/14	230	232	Optum	er,Project Manager,DDI Business Analytics Manager,DDI Technical Solutions Manager
232	1.4.2.1.3.5	<i>Review and Approve Requirements Traceability Matrix</i>	X	2 days	Wed 2/5/14	Thu 2/6/14	231	233	DHS	DHS
233	1.4.2.1.3.6	Milestone: Requirements Traceability Matrix for AME DSS Developed and Updated		0 days	Thu 2/6/14	Thu 2/6/14	232	234		
234	1.4.2.1.4	MILESTONE: COMPLETION OF REQUIREMENTS VALIDATION		0 days	Thu 2/6/14	Thu 2/6/14	233	249,256,257		
235	1.4.2.2	SDLC STAGE 3 - SYSTEM DESIGN		37 days	Fri 2/7/14	Mon 3/31/14				
236	1.4.2.2.1	Information Architecture Design		35 days	Fri 2/7/14	Thu 3/27/14				
237	1.4.2.2.1.1	Interface Control Documents		35 days	Fri 2/7/14	Thu 3/27/14				
238	1.4.2.2.1.1.1	Develop Initial Interface Control Documents		15 days	Fri 2/7/14	Thu 2/27/14	234	239	Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager,Project Manager
239	1.4.2.2.1.1.2	<i>Review Interface Control Documents</i>	X	10 days	Fri 2/28/14	Thu 3/13/14	238	240	DHS	DHS
240	1.4.2.2.1.1.3	Revise Interface Control Documents		5 days	Fri 3/14/14	Thu 3/20/14	239	241	Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager,Project Manager
241	1.4.2.2.1.1.4	<i>Review and Approve Revised Interface Control Documents</i>	X	5 days	Fri 3/21/14	Thu 3/27/14	240		DHS	DHS
242	1.4.2.2.2	Business Architecture Design		37 days	Fri 2/7/14	Mon 3/31/14				
243	1.4.2.2.2.1	Functional Design Document (Detailed Systems Design)		37 days	Fri 2/7/14	Mon 3/31/14				
244	1.4.2.2.2.1.1	Database Design & Data Modeling Components		15 days	Fri 2/7/14	Thu 2/27/14	234		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager
245	1.4.2.2.2.1.2	Data Architecture & System Interface Components		15 days	Fri 2/7/14	Thu 2/27/14	234		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager
246	1.4.2.2.2.1.3	Metadata & Data Standards Components		15 days	Fri 2/7/14	Thu 2/27/14	234		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager
247	1.4.2.2.2.1.4	Data User Interface Components		15 days	Fri 2/7/14	Thu 2/27/14	234		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager
248	1.4.2.2.2.1.5	Data Analytics & Data Visualization Components		15 days	Fri 2/7/14	Thu 2/27/14	234		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager
249	1.4.2.2.2.1.6	Federal & State Reporting Components		15 days	Fri 2/7/14	Thu 2/27/14	234	250	Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager
250	1.4.2.2.2.1.7	Compile Design Components and Provide Consolidated Functional Design to State		2 days	Fri 2/28/14	Mon 3/3/14	249	251	Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager
251	1.4.2.2.2.1.8	<i>Review Functional Design Documents</i>	X	10 days	Tue 3/4/14	Mon 3/17/14	250	252	DHS	DHS
252	1.4.2.2.2.1.9	Revise Functional Design Documents		5 days	Tue 3/18/14	Mon 3/24/14	251	253	Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager
253	1.4.2.2.2.1.10	<i>Review and Approve Revised Functional Design Documents</i>	X	5 days	Tue 3/25/14	Mon 3/31/14	252	254	DHS	DHS
254	1.4.2.2.2.2	Milestone: Functional Design Complete		0 days	Mon 3/31/14	Mon 3/31/14	253	259FF,261FF		
255	1.4.2.2.3	Build Initial System Environments		30 days	Fri 2/7/14	Thu 3/20/14		262		
256	1.4.2.2.3.1	Build Development and Unit Test Environment		30 days	Fri 2/7/14	Thu 3/20/14	234		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
257	1.4.2.2.3.2	Build System Test and Integration Test Environment		30 days	Fri 2/7/14	Thu 3/20/14	234		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
258	1.4.2.2.4	Update Project Documentation		5 days	Tue 3/25/14	Mon 3/31/14		262		
259	1.4.2.2.4.1	Update Project Work Plan		5 days	Tue 3/25/14	Mon 3/31/14	254FF		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager,DDI Manager,Project Manager
260	1.4.2.2.4.2	Update Other Project Documentation (as necessary)		5 days	Tue 3/25/14	Mon 3/31/14	254FF		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager,DDI Manager,Project Manager
261	1.4.2.2.4.3	Update RTM		5 days	Tue 3/25/14	Mon 3/31/14	254FF		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager,DDI Manager,Project Manager
262	1.4.2.2.5	MILESTONE: COMPLETION OF SYSTEM DESIGN		0 days	Mon 3/31/14	Mon 3/31/14	258,254,255	292,293,294		
263	1.4.2.3	SDLC STAGE 4 - DEVELOPMENT (CONSTRUCTION & UNIT TESTING)		45 days	Tue 4/1/14	Mon 6/2/14				
264	1.4.2.3.1	Construction & Unit Testing (RUP Iterative Approach)		30 days	Tue 4/1/14	Mon 5/12/14		313FF,314FF		
265	1.4.2.3.1.1	Database Design & Data Modeling Components		30 days	Tue 4/1/14	Mon 5/12/14				
266	1.4.2.3.1.1.1	DSS <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
267	1.4.2.3.1.1.2	FADS/SURS <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager,DDI Manager,DDI FADS Resources,DDI Manager
268	1.4.2.3.1.1.3	MARS and Federal Reporting <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager,DDI Manager,DDI IMARS Resources,DDI Manager



ID	WBS	Task Name	On Site?	Duration	Start	Finish	Predecessors	Successors	Resource Group	Key Resources
269	1.4.2.3.1.1.4	Prepayment Detection <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI Manager,DDI Prepay Resources
270	1.4.2.3.1.2	Data Architecture & System Interface Components		30 days	Tue 4/1/14	Mon 5/12/14				
271	1.4.2.3.1.2.1	DSS <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
272	1.4.2.3.1.2.2	FADS/SURS <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI FADS Resources,DDI Manager
273	1.4.2.3.1.2.3	MARS and Federal Reporting <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI IMARS Resources,DDI Manager
274	1.4.2.3.1.2.4	Prepayment Detection <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI Manager,DDI Prepay Resources
275	1.4.2.3.1.3	Metadata & Data Standards Components		30 days	Tue 4/1/14	Mon 5/12/14				
276	1.4.2.3.1.3.1	DSS <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI Business Analytics Manager,DDI Manager
277	1.4.2.3.1.3.2	FADS/SURS <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI FADS Resources,DDI Manager
278	1.4.2.3.1.3.3	MARS and Federal Reporting <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI IMARS Resources,DDI Manager
279	1.4.2.3.1.3.4	Prepayment Detection <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI Manager,DDI Prepay Resources
280	1.4.2.3.1.4	Data User Interface Components		30 days	Tue 4/1/14	Mon 5/12/14				
281	1.4.2.3.1.4.1	DSS <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI Business Analytics Manager,DDI Interface Data Manager,DDI Manager
282	1.4.2.3.1.4.2	FADS/SURS <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI FADS Resources,DDI Manager
283	1.4.2.3.1.4.3	MARS and Federal Reporting <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI IMARS Resources,DDI Manager
284	1.4.2.3.1.4.4	Prepayment Detection <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI Manager,DDI Prepay Resources
285	1.4.2.3.1.5	Data Analytics & Data Visualization Components		30 days	Tue 4/1/14	Mon 5/12/14				
286	1.4.2.3.1.5.1	DSS <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI Business Analytics Manager,DDI Manager
287	1.4.2.3.1.5.2	FADS/SURS <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI FADS Resources,DDI Manager
288	1.4.2.3.1.5.3	MARS and Federal Reporting <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI IMARS Resources,DDI Manager
289	1.4.2.3.1.5.4	Prepayment Detection <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI Manager,DDI Prepay Resources
290	1.4.2.3.1.6	Federal & State Reporting Components		30 days	Tue 4/1/14	Mon 5/12/14				
291	1.4.2.3.1.6.1	DSS <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI Business Analytics Manager,DDI Manager
292	1.4.2.3.1.6.2	FADS/SURS <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI FADS Resources,DDI Manager
293	1.4.2.3.1.6.3	MARS and Federal Reporting <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI IMARS Resources,DDI Manager
294	1.4.2.3.1.6.4	Prepayment Detection <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI Manager,DDI Prepay Resources
295	1.4.2.3.2	Data Conversion		45 days	Tue 4/1/14	Mon 6/2/14		313FF,314FF		
296	1.4.2.3.2.1	Data Conversion Plan		35 days	Tue 4/1/14	Mon 5/19/14				
297	1.4.2.3.2.1.1	Develop Data Conversion Plan		15 days	Tue 4/1/14	Mon 4/21/14	262	298	Optum	DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
298	1.4.2.3.2.1.2	<i>Review Data Conversion Plan</i>	X	10 days	Tue 4/22/14	Mon 5/5/14	297	299	DHS	DHS
299	1.4.2.3.2.1.3	Revise Data Conversion Plan		5 days	Tue 5/6/14	Mon 5/12/14	298	300	Optum	DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
300	1.4.2.3.2.1.4	<i>Review and Approve Data Conversion Plan</i>	X	5 days	Tue 5/13/14	Mon 5/19/14	299	302	DHS	DHS
301	1.4.2.3.2.2	Preliminary Data Conversion		10 days	Tue 5/20/14	Mon 6/2/14				
302	1.4.2.3.2.2.1	Preliminary Claims Data Conversion		5 days	Tue 5/20/14	Mon 5/26/14	300	303,304	Optum	DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
303	1.4.2.3.2.2.2	Preliminary Provider Data Conversion		3 days	Tue 5/27/14	Thu 5/29/14	302	305,306	Optum	DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
304	1.4.2.3.2.2.3	Preliminary Recipient Data Conversion		3 days	Tue 5/27/14	Thu 5/29/14	302		Optum	DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
305	1.4.2.3.2.2.4	Preliminary Reference Data Conversion		2 days	Fri 5/30/14	Mon 6/2/14	303		Optum	DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
306	1.4.2.3.2.2.5	Preliminary Other Data Conversion		2 days	Fri 5/30/14	Mon 6/2/14	303		Optum	DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
307	1.4.2.3.3	Conduct Staging Testing		25 days	Tue 4/1/14	Mon 5/5/14		313FF,314FF		
308	1.4.2.3.3.1	<detail tasks tbd based on TEMP>		15 days	Tue 4/1/14	Mon 4/21/14	262	309	Optum	DDI Manager,DDI Testing Manager
309	1.4.2.3.3.2	Deliver Staging Testing Results to State		0 days	Mon 4/21/14	Mon 4/21/14	308	310	Optum	DDI Manager,DDI Testing Manager
310	1.4.2.3.3.3	<i>Review and Approve Staging Testing Results</i>	X	10 days	Tue 4/22/14	Mon 5/5/14	309		DHS	DHS
311	1.4.2.3.4	Update Project Documentation		10 days	Tue 5/20/14	Mon 6/2/14		315		
312	1.4.2.3.4.1	Update Project Work Plan		10 days	Tue 5/20/14	Mon 6/2/14	F,295FF,307FF		Optum	DDI Manager,Project Manager
313	1.4.2.3.4.2	Update RTM		10 days	Tue 5/20/14	Mon 6/2/14	F,295FF,307FF		Optum	DDI Manager,Project Manager
314	1.4.2.3.4.3	Update Other Project Documentation (as necessary)		10 days	Tue 5/20/14	Mon 6/2/14	F,295FF,307FF		Optum	DDI Manager,Project Manager
315	1.4.2.3.5	MILESTONE: COMPLETION OF DEVELOPMENT (CONSTRUCTION & UNIT TESTING)		0 days	Mon 6/2/14	Mon 6/2/14	311	320,321,329		
316	1.4.2.4	SDLC STAGE 5 - INTEGRATION & SYSTEM TESTING		35 days	Tue 6/3/14	Mon 7/21/14				
317	1.4.2.4.1	Conduct Systems Testing		35 days	Tue 6/3/14	Mon 7/21/14		340		
318	1.4.2.4.1.1	DSS <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 6/3/14	Mon 7/14/14	315	F,333FF,322	Optum	DDI Testing Manager,DDI Manager
319	1.4.2.4.1.2	FADS/SURS <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 6/3/14	Mon 7/14/14	315	F,333FF,322	Optum	DDI FADS Resources,DDI Manager,DDI Testing Manager
320	1.4.2.4.1.3	MARS <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 6/3/14	Mon 7/14/14	315	F,333FF,322	Optum	DDI IMARS Resources,DDI Manager,DDI Testing Manager
321	1.4.2.4.1.4	Prepayment Detection <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 6/3/14	Mon 7/14/14	315	F,333FF,322	Optum	DDI Manager,DDI Prepay Resources,DDI Testing Manager
322	1.4.2.4.1.5	Deliver Systems Testing Results to State		0 days	Mon 7/14/14	Mon 7/14/14	18,319,320,321	323	Optum	DDI Manager,DDI Testing Manager



ID	WBS	Task Name	On Site?	Duration	Start	Finish	Predecessors	Successors	Resource Group	Key Resources
323	1.4.2.4.1.6	<i>Review and Approve Systems Testing Results</i>	X	5 days	Tue 7/15/14	Mon 7/21/14	322		DHS	DHS
324	1.4.2.4.2	Build Remaining System Environments		20 days	Tue 6/3/14	Mon 6/30/14		340		
325	1.4.2.4.2.1	Build End-to-End Regression Test Environment		20 days	Tue 6/3/14	Mon 6/30/14	315		Optum	DDI Manager,DDI Technical Solutions Manager
326	1.4.2.4.2.2	Build Release Packaging and Test Environment		20 days	Tue 6/3/14	Mon 6/30/14	315		Optum	DDI Manager,DDI Technical Solutions Manager
327	1.4.2.4.2.3	Build Preproduction (Release Staging) Environment		20 days	Tue 6/3/14	Mon 6/30/14	315		Optum	DDI Manager,DDI Technical Solutions Manager
328	1.4.2.4.2.4	Build Product Operations and Reporting Environment		20 days	Tue 6/3/14	Mon 6/30/14	315		Optum	DDI Manager,DDI Technical Solutions Manager
329	1.4.2.4.2.5	Build Model Office (Simulation and Modeling) Environment		20 days	Tue 6/3/14	Mon 6/30/14	315		Optum	DDI Manager,DDI Technical Solutions Manager
330	1.4.2.4.2.6	Build Disaster Recovery Environment		20 days	Tue 6/3/14	Mon 6/30/14	315		Optum	DDI Manager,DDI Technical Solutions Manager
331	1.4.2.4.3	Update Project Documentation		34 days	Tue 6/3/14	Fri 7/18/14		340		
332	1.4.2.4.3.1	Update Project Work Plan		10 days	Tue 7/1/14	Mon 7/14/14	F,320FF,321FF		Optum	DDI Manager,Project Manager
333	1.4.2.4.3.2	Update RTM		10 days	Tue 7/1/14	Mon 7/14/14	F,320FF,321FF		Optum	DDI Manager,Project Manager
334	1.4.2.4.3.3	Update Other Project Documentation (as necessary)		10 days	Tue 7/1/14	Mon 7/14/14	F,320FF,321FF		Optum	DDI Manager,Project Manager
335	1.4.2.4.3.4	Training Master Plan		34 days	Tue 6/3/14	Fri 7/18/14				
336	1.4.2.4.3.4.1	Develop Training Master Plan		20 days	Tue 6/3/14	Mon 6/30/14	315	337	Optum	DDI Documentation/Training Manager,DDI Manager
337	1.4.2.4.3.4.2	<i>Review Training Master Plan</i>	X	10 days	Tue 7/1/14	Mon 7/14/14	336	338	DHS	DHS
338	1.4.2.4.3.4.3	Revise Training Master Plan		2 days	Tue 7/15/14	Wed 7/16/14	337	339	Optum	DDI Documentation/Training Manager,DDI Manager
339	1.4.2.4.3.4.4	<i>Review and Approve Revised Training Master Plan</i>	X	2 days	Thu 7/17/14	Fri 7/18/14	338		DHS	DHS
340	1.4.2.4.4	MILESTONE: COMPLETION OF INTEGRATION & SYSTEM TESTING		0 days	Mon 7/21/14	Mon 7/21/14	317,324,331	347,358,363		
341	1.4.2.5	SDLC STAGE 6: INSTALLATION & USER ACCEPTANCE (UAT)		32 days	Tue 7/22/14	Wed 9/3/14				
342	1.4.2.5.1	Conduct End-to-End Testing		24 days	Tue 7/22/14	Fri 8/22/14				
343	1.4.2.5.1.1	Conduct End-to-End Test		10 days	Tue 7/22/14	Mon 8/4/14				
344	1.4.2.5.1.1.1	DSS <detail tasks tbd based on RTM and other Deliverables>		10 days	Tue 7/22/14	Mon 8/4/14	340	348FF	Optum	DDI Testing Manager,DDI Manager
345	1.4.2.5.1.1.2	FADS/SURS <detail tasks tbd based on RTM and other Deliverables>		10 days	Tue 7/22/14	Mon 8/4/14	340	348FF	Optum	DDI FADS Resources,DDI Manager,DDI Testing Manager
346	1.4.2.5.1.1.3	MARS <detail tasks tbd based on RTM and other Deliverables>		10 days	Tue 7/22/14	Mon 8/4/14	340	348FF	Optum	DDI IMARS Resources,DDI Manager,DDI Testing Manager
347	1.4.2.5.1.1.4	Prepayment Detection <detail tasks tbd based on RTM and other Deliverables>		10 days	Tue 7/22/14	Mon 8/4/14	340	348FF	Optum	DDI Manager,DDI Prepay Resources,DDI Testing Manager
348	1.4.2.5.1.2	Deliver End-to-End Test Results to State		0 days	Mon 8/4/14	Mon 8/4/14	F,346FF,347FF	349,354,355	Optum	DDI Manager,DDI Testing Manager
349	1.4.2.5.1.3	<i>Review End-to-End Test Results</i>	X	10 days	Tue 8/5/14	Mon 8/18/14	348	350	DHS	DHS
350	1.4.2.5.1.4	Revise End-to-End Test Results		2 days	Tue 8/19/14	Wed 8/20/14	349	351	Optum	DDI Manager,DDI Testing Manager
351	1.4.2.5.1.5	<i>Review and Approve End-to-End Testing Results</i>	X	2 days	Thu 8/21/14	Fri 8/22/14	350	352FF	DHS	DHS
352	1.4.2.5.2	Conduct UAT Training		15 days	Mon 8/4/14	Fri 8/22/14	351FF		Optum	DDI Documentation/Training Manager
353	1.4.2.5.3	Conduct User Acceptance Testing		22 days	Tue 8/5/14	Wed 9/3/14		375FF,380FF		
354	1.4.2.5.3.1	<i>Conduct UAT</i>		22 days	Tue 8/5/14	Wed 9/3/14	348	356	Optum,DHS	DDI Testing Manager,DDI Manager,DHS,DDI Business Analytics Manager
355	1.4.2.5.3.2	Optum facilitates UAT and makes revisions as required		22 days	Tue 8/5/14	Wed 9/3/14	348	356	Optum	DDI Manager,DDI Testing Manager
356	1.4.2.5.3.3	MILESTONE: STATE APPROVES UAT		0 days	Wed 9/3/14	Wed 9/3/14	354,355			
357	1.4.2.5.4	Performance Management Plan – Operations		24 days	Tue 7/22/14	Fri 8/22/14				
358	1.4.2.5.4.1	Develop Initial Performance Management Plan – Operations		10 days	Tue 7/22/14	Mon 8/4/14	340	359	Optum	DDI Manager,Project Manager,DDI Documentation/Training Manager
359	1.4.2.5.4.2	<i>Review Performance Management Plan – Operations</i>	X	10 days	Tue 8/5/14	Mon 8/18/14	358	360	DHS	DHS
360	1.4.2.5.4.3	Revise Performance Management Plan – Operations		2 days	Tue 8/19/14	Wed 8/20/14	359	361	Optum	DDI Manager,Project Manager,DDI Documentation/Training Manager
361	1.4.2.5.4.4	<i>Review and Approve Revised Performance Management Plan – Operations</i>	X	2 days	Thu 8/21/14	Fri 8/22/14	360		DHS	DHS
362	1.4.2.5.5	Operations Rollout Preparations Plan		24 days	Tue 7/22/14	Fri 8/22/14				
363	1.4.2.5.5.1	Develop Operations Readiness Review Plan		10 days	Tue 7/22/14	Mon 8/4/14	340	364	Optum	DDI Manager,Project Manager,DDI Documentation/Training Manager
364	1.4.2.5.5.2	<i>Review Operations Readiness Review Plan</i>	X	10 days	Tue 8/5/14	Mon 8/18/14	363	365	DHS	DHS
365	1.4.2.5.5.3	Revise Operations Readiness Review Plan		2 days	Tue 8/19/14	Wed 8/20/14	364	366	Optum	DDI Manager,Project Manager,DDI Documentation/Training Manager
366	1.4.2.5.5.4	<i>Review and Approve Operations Readiness Review Plan</i>	X	2 days	Thu 8/21/14	Fri 8/22/14	365		DHS	DHS
367	1.4.2.5.6	Update Project Documentation		24 days	Fri 8/1/14	Wed 9/3/14		381		
368	1.4.2.5.6.1	Update Project Work Plan		10 days	Thu 8/21/14	Wed 9/3/14	353FF		Optum	DDI Manager,Project Manager
369	1.4.2.5.6.2	Update RTM		10 days	Thu 8/21/14	Wed 9/3/14	353FF		Optum	DDI Manager,Project Manager
370	1.4.2.5.6.3	Update Other Project Documentation (as necessary)		10 days	Thu 8/21/14	Wed 9/3/14	353FF		Optum	DDI Manager,Project Manager
371	1.4.2.5.6.4	Systems Engineering Management Plan (SEMP) Engineering Requirements (all components and services)		24 days	Fri 8/1/14	Wed 9/3/14				
372	1.4.2.5.6.4.1	Develop Updated Phase 1 SEMP		10 days	Fri 8/1/14	Fri 8/15/14	373SF		Optum	ager,DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
373	1.4.2.5.6.4.2	<i>Review Updated Phase 1 SEMP</i>	X	10 days	Fri 8/15/14	Fri 8/29/14	374SF	372SF	DHS	DHS
374	1.4.2.5.6.4.3	Revise Updated Phase 1 SEMP		2 days	Fri 8/29/14	Tue 9/2/14	375SF	373SF	Optum	ager,DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
375	1.4.2.5.6.4.4	<i>Review and Approve Updated Phase 1 SEMP</i>	X	2 days	Tue 9/2/14	Wed 9/3/14	353FF	374SF	DHS	DHS
376	1.4.2.5.6.5	Test and Evaluation Management Plan (TEMP) (all components and services)		24 days	Fri 8/1/14	Wed 9/3/14				



ID	WBS	Task Name	On Site?	Duration	Start	Finish	Predecessors	Successors	Resource Group	Key Resources
377	1.4.2.5.6.5.1	Develop Updated Phase 1 TEMP		10 days	Fri 8/1/14	Fri 8/15/14	378SF		Optum	Project Manager,DDI Manager,DDI Testing Manager
378	1.4.2.5.6.5.2	<i>Review Updated Phase 1 TEMP</i>	X	10 days	Fri 8/15/14	Fri 8/29/14	379SF	377SF	DHS	DHS
379	1.4.2.5.6.5.3	Revise Updated Phase 1 TEMP		2 days	Fri 8/29/14	Tue 9/2/14	380SF	378SF	Optum	Project Manager,DDI Manager,DDI Testing Manager
380	1.4.2.5.6.5.4	<i>Review and Approve Revised Updated Phase 1 TEMP</i>	X	2 days	Tue 9/2/14	Wed 9/3/14	353FF	379SF	DHS	DHS
381	1.4.2.5.7	MILESTONE: COMPLETION OF INSTALLATION AND USER ACCEPTANCE (UAT)		0 days	Wed 9/3/14	Wed 9/3/14	367	382		
382	1.4.6	MILESTONE: COMPLETION OF PHASE II – INFRASTRUCTURE AND DEVELOPMENT, CONFIGURATION AND IMPLEMENTATION		0 days	Wed 9/3/14	Wed 9/3/14	381	398,399,402		
383	1.5	PHASE III – OPERATIONS READINESS, PRODUCTION CUTOVER & FACILITIES ROLLOUT		124 days	Thu 9/4/14	Tue 2/24/15				
384	1.5.1	Operations Readiness		34 days	Thu 9/4/14	Tue 10/21/14				
385	1.5.1.1	Implementation Master Plan		30 days	Thu 9/4/14	Wed 10/15/14				
386	1.5.1.1.1	Training Plan – Final (including development of Training material)		10 days	Thu 9/4/14	Wed 9/17/14	382	392	Optum	DDI Documentation/Training Manager,DDI Manager
387	1.5.1.1.2	Data Conversion Plan – Final		10 days	Thu 9/4/14	Wed 9/17/14	382	392	Optum	DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
388	1.5.1.1.3	End-to-End Integration Plan – Final		10 days	Thu 9/4/14	Wed 9/17/14	382	392	Optum	DDI Interface Data Manager,DDI Manager
389	1.5.1.1.4	User Acceptance Test Plan – Final		10 days	Thu 9/4/14	Wed 9/17/14	382	392	Optum	DDI Manager,DDI Testing Manager
390	1.5.1.1.5	Performance Management Plan (Operations) - Final		10 days	Thu 9/4/14	Wed 9/17/14	382	392	Optum	DDI Documentation/Training Manager,DDI Manager
391	1.5.1.1.6	Operations Rollout Preparations Plan - Final		10 days	Thu 9/4/14	Wed 9/17/14	382	392	Optum	DDI Documentation/Training Manager,DDI Manager,Project Manager
392	1.5.1.1.7	Compile Implementation Master Plan Components and Provide Consolidated Implementation Master Plan to State		0 days	Wed 9/17/14	Wed 9/17/14	87,388,389,390	393	Optum	DDI Manager,Project Manager
393	1.5.1.1.8	<i>Review Implementation Master Plan Documents</i>	X	10 days	Thu 9/18/14	Wed 10/1/14	392	394	DHS	DHS
394	1.5.1.1.9	Revise Implementation Master Plan Documents		5 days	Thu 10/2/14	Wed 10/8/14	393	395	Optum	DDI Manager,Project Manager
395	1.5.1.1.10	<i>Review and Approve Revised Implementation Master Plan Documents</i>	X	5 days	Thu 10/9/14	Wed 10/15/14	394	396	DHS	DHS
396	1.5.1.1.11	<i>Implementation Master Plan Complete</i>		0 days	Wed 10/15/14	Wed 10/15/14	395			
397	1.5.1.2	Conduct Final Acceptance Testing (FAT)		22 days	Thu 9/4/14	Fri 10/3/14				
398	1.5.1.2.1	<i>Conduct FAT</i>		22 days	Thu 9/4/14	Fri 10/3/14	382	400	Optum,DHS	DDI Manager,DHS,DDI Testing Manager,Project Manager
399	1.5.1.2.2	Optum facilitates FAT and makes revisions as required		22 days	Thu 9/4/14	Fri 10/3/14	382	400	Optum	DDI Testing Manager
400	1.5.1.2.3	MILESTONE: STATE APPROVES FAT		0 days	Fri 10/3/14	Fri 10/3/14	398,399			
401	1.5.1.3	Operations Readiness Review Plan (Detailed)		24 days	Thu 9/4/14	Tue 10/7/14				
402	1.5.1.3.1	Develop Operations Readiness Review Plan		10 days	Thu 9/4/14	Wed 9/17/14	382	403	Optum	DDI Documentation/Training Manager,DDI Manager,Project Manager
403	1.5.1.3.2	<i>Review Operations Readiness Review Plan</i>	X	10 days	Thu 9/18/14	Wed 10/1/14	402	404	DHS	DHS
404	1.5.1.3.3	Revise Operations Readiness Review Plan		2 days	Thu 10/2/14	Fri 10/3/14	403	405	Optum	DDI Documentation/Training Manager,DDI Manager,Project Manager
405	1.5.1.3.4	<i>Review and Approve Operations Readiness Review Plan</i>	X	2 days	Mon 10/6/14	Tue 10/7/14	404	407,408,409	DHS	DHS
406	1.5.1.4	Operations Readiness - Final		24 days	Thu 9/18/14	Tue 10/21/14				
407	1.5.1.4.1	Perform Final Data Conversion		8 days	Wed 10/8/14	Fri 10/17/14	405	410	Optum	DDI Interface Data Manager,DDI Manager,Project Manager
408	1.5.1.4.2	Perform Final Training and Knowledge Transfer		8 days	Wed 10/8/14	Fri 10/17/14	405	410	Optum	DDI Documentation/Training Manager,DDI Manager,Project Manager
409	1.5.1.4.3	Perform Final Evaluation of Facility Readiness		8 days	Wed 10/8/14	Fri 10/17/14	405	410	Optum	DDI Manager,DDI Technical Solutions Manager,Project Manager
410	1.5.1.4.4	Readiness Certification: Deliver Operational Readiness Report		2 days	Mon 10/20/14	Tue 10/21/14	407,408,409	411,412,413	Optum	Optum
411	1.5.1.4.5	Update Project Documentation		24 days	Thu 9/18/14	Tue 10/21/14				
412	1.5.1.4.5.1	Update Project Work Plan		10 days	Wed 10/8/14	Tue 10/21/14	410FF		Optum	DDI Manager,Project Manager
413	1.5.1.4.5.2	Update RTM		10 days	Wed 10/8/14	Tue 10/21/14	410FF		Optum	DDI Manager,Project Manager
414	1.5.1.4.5.3	Update Other Project Documentation (as necessary)		10 days	Wed 10/8/14	Tue 10/21/14	410FF		Optum	DDI Manager,Project Manager
415	1.5.1.4.5.4	Systems Engineering Management Plan (SEMP) Engineering Requirements (all components and services)		24 days	Thu 9/18/14	Tue 10/21/14				
416	1.5.1.4.5.4.1	Develop Updated Phase 1 SEMP		10 days	Thu 9/18/14	Thu 10/2/14	417SF		Optum	ager,DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
417	1.5.1.4.5.4.2	<i>Review Updated Phase 1 SEMP</i>	X	10 days	Thu 10/2/14	Thu 10/16/14	418SF	416SF	DHS	DHS
418	1.5.1.4.5.4.3	Revise Updated Phase 1 SEMP		2 days	Thu 10/16/14	Mon 10/20/14	419SF	417SF	Optum	ager,DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
419	1.5.1.4.5.4.4	<i>Review and Approve Updated Phase 1 SEMP</i>	X	2 days	Mon 10/20/14	Tue 10/21/14	410FF	418SF	DHS	DHS
420	1.5.1.4.5.5	Test and Evaluation Management Plan (TEMP) (all components and services)		24 days	Thu 9/18/14	Tue 10/21/14				
421	1.5.1.4.5.5.1	Develop Updated Phase 1 TEMP		10 days	Thu 9/18/14	Thu 10/2/14	422SF		Optum	Project Manager,DDI Manager,DDI Testing Manager
422	1.5.1.4.5.5.2	<i>Review Updated Phase 1 TEMP</i>	X	10 days	Thu 10/2/14	Thu 10/16/14	423SF	421SF	DHS	DHS
423	1.5.1.4.5.5.3	Revise Updated Phase 1 TEMP		2 days	Thu 10/16/14	Mon 10/20/14	424SF	422SF	Optum	Project Manager,DDI Manager,DDI Testing Manager
424	1.5.1.4.5.5.4	<i>Review and Approve Revised Updated Phase 1 TEMP</i>	X	2 days	Mon 10/20/14	Tue 10/21/14	410FF	423SF	DHS	DHS
425	1.5.2	Production Cutover and Facility Rollout		6 days	Wed 10/22/14	Wed 10/29/14				
426	1.5.2.1	Implementation Events		6 days	Wed 10/22/14	Wed 10/29/14		431,432		
427	1.5.2.1.1	Facility, Function, or Work Group Cutovers		6 days	Wed 10/22/14	Wed 10/29/14	410	429	Optum	e Data Manager,DDI Manager,DDI Technical Solutions Manager,Project Manager
428	1.5.2.1.2	Facility, Function, or Work Group (Implementation) Final Reports		6 days	Wed 10/22/14	Wed 10/29/14	410	429	Optum	e Data Manager,DDI Manager,DDI Technical Solutions Manager,Project Manager



ID	WBS	Task Name	On Site?	Duration	Start	Finish	Predecessors	Successors	Resource Group	Key Resources
429	1.5.3	MILESTONE: PRODUCTION CUTOVER COMPLETE		0 days	Wed 10/29/14	Wed 10/29/14	427,428	450,452,454		
430	1.5.4	Post-Implementation Events and Verification Period		60 days	Thu 10/30/14	Wed 1/21/15				
431	1.5.4.1	Facility, Function, or Work Group Evaluations		60 days	Thu 10/30/14	Wed 1/21/15	426	433FF	Optum	e Data Manager,DDI Manager,DDI Technical Solutions Manager,Project Manager
432	1.5.4.2	Facility, Function, or Work Group Remediation Periods		60 days	Thu 10/30/14	Wed 1/21/15	426	433FF	Optum	e Data Manager,DDI Manager,DDI Technical Solutions Manager,Project Manager
433	1.5.4.3	Post-Implementation Summary Report		10 days	Thu 1/8/15	Wed 1/21/15	431FF,432FF	435	Optum	e Data Manager,DDI Manager,DDI Technical Solutions Manager,Project Manager
434	1.5.5	Certification of Compliance (State Final Acceptance)		24 days	Thu 1/22/15	Tue 2/24/15				
435	1.5.5.1	Develop Certification of Compliance		10 days	Thu 1/22/15	Wed 2/4/15	433	436	Optum	DDI Manager,Project Manager
436	1.5.5.2	<i>Review Certification of Compliance</i>	X	10 days	Thu 2/5/15	Wed 2/18/15	435	437	DHS	DHS
437	1.5.5.3	Revise Certification of Compliance		2 days	Thu 2/19/15	Fri 2/20/15	436	438	Optum	DDI Manager,Project Manager
438	1.5.5.4	<i>Review and Approve Certification of Compliance</i>	X	2 days	Mon 2/23/15	Tue 2/24/15	437	439	DHS	DHS
439	1.5.6	MILESTONE: COMPLETION OF PHASE III – OPERATIONS READINESS, PRODUCTION CUTOVER & FACILITY ROLLOUT		0 days	Tue 2/24/15	Tue 2/24/15	438			
440	1.6	PHASE IV - INITIAL OPERATIONS		1567 days	Thu 10/30/14	Fri 10/30/20				
441	1.6.1	Warranty Period		825 days	Thu 10/30/14	Wed 12/27/17	429		Optum	Optum
442	1.6.2	Operations Support: SFY Remainder (Monthly Invoices)		1567 days	Thu 10/30/14	Fri 10/30/20				
443	1.6.2.1	Conduct Weekly Operational Meetings		1567 days	Thu 10/30/14	Fri 10/30/20				
444	1.6.2.1.1	<detail recurring tasks as defined in RFP and Propals>		1567 days	Thu 10/30/14	Fri 10/30/20	429		Optum	on/Training Manager,Ops Manager,Ops Technical Support Lead,Project Manager
445	1.6.2.2	Submit Status Reports (Weekly, Monthly, Quarterly, Ad Hoc)		1567 days	Thu 10/30/14	Fri 10/30/20				
446	1.6.2.2.1	<detail recurring tasks as defined in RFP and Propals>		1567 days	Thu 10/30/14	Fri 10/30/20	429		Optum	on/Training Manager,Ops Manager,Ops Technical Support Lead,Project Manager
447	1.6.2.3	Provide Maintenance and Operations Support Services		1567 days	Thu 10/30/14	Fri 10/30/20				
448	1.6.2.3.1	<detail tasks as defined in RFP and Propals>		1567 days	Thu 10/30/14	Fri 10/30/20	429		Optum	on/Training Manager,Ops Manager,Ops Technical Support Lead,Project Manager
449	1.6.2.4	Provide Modifications and Enhancements Services		1567 days	Thu 10/30/14	Fri 10/30/20				
450	1.6.2.4.1	<detail tasks as defined in RFP and Propals>		1567 days	Thu 10/30/14	Fri 10/30/20	429		Optum	on/Training Manager,Ops Manager,Ops Technical Support Lead,Project Manager
451	1.6.2.5	Provide Performance Analysis Services		1567 days	Thu 10/30/14	Fri 10/30/20				
452	1.6.2.5.1	<detail tasks as defined in RFP and Propals>		1567 days	Thu 10/30/14	Fri 10/30/20	429		Optum	on/Training Manager,Ops Manager,Ops Technical Support Lead,Project Manager
453	1.6.2.6	Provides Planning Analysis (Infrastructure) Services		1567 days	Thu 10/30/14	Fri 10/30/20				
454	1.6.2.6.1	<detail tasks as defined in RFP and Propals>		1567 days	Thu 10/30/14	Fri 10/30/20	429		Optum	on/Training Manager,Ops Manager,Ops Technical Support Lead,Project Manager
455	1.7	PHASE V – OPERATIONS AND FEDERAL CERTIFICATION (AND CORE SYSTEMS INTEGRATION)		527 days?	Thu 10/29/15	Fri 11/3/17				
456		DDI STAGE 2 - CORE SYSTEM INTEGRATION		266 days	Thu 10/29/15	Thu 11/3/16				
457		SDLC STAGE 1 - PLANNING (See 1.3.1)		20 days	Thu 10/29/15	Wed 11/25/15				
458		<detail tasks as defined above>		20 days	Thu 10/29/15	Wed 11/25/15		460	Optum	ager,DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
459		SDLC STAGE 2 - REQUIREMENTS VALIDATION (SEE 1.4.2.1)		30 days	Thu 11/26/15	Wed 1/6/16				
460		<detail tasks as defined above>		30 days	Thu 11/26/15	Wed 1/6/16	458	462	Optum	ager,DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
461		SDLC STAGE 3 - SYSTEM DESIGN (SEE 1.4.2.2)		30 days	Thu 1/7/16	Wed 2/17/16				
462		<detail tasks as defined above>		30 days	Thu 1/7/16	Wed 2/17/16	460	464	Optum	ager,DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
463		SDLC STAGE 4 - DEVELOPMENT (CONSTRUCTION & UNIT TESTING) (SEE 1.4.2.3)		96 days	Thu 2/18/16	Thu 6/30/16				
464		<detail tasks as defined above>		96 days	Thu 2/18/16	Thu 6/30/16	462	466	Optum	ager,DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
465	5	SDLC STAGE 5 - INTEGRATION & SYSTEM TESTING (SEE 1.4.2.4)		60 days	Fri 7/1/16	Thu 9/22/16				
466		<detail tasks as defined above>		60 days	Fri 7/1/16	Thu 9/22/16	464	468	Optum	ager,DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
467		SDLC STAGE 6: INSTALLATION & USER ACCEPTANCE (UAT) (SEE 1.4.2.5)		30 days	Fri 9/23/16	Thu 11/3/16				
468		<detail tasks as defined above>		30 days	Fri 9/23/16	Thu 11/3/16	466	469	Optum	ager,DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
469		MILESTONE: CORE SYSTEMS INTEGRATION COMPLETE		0 days	Thu 11/3/16	Thu 11/3/16	468	471		
470	1.7.2	Federal Certification		261 days	Fri 11/4/16	Fri 11/3/17				
471	1.7.2.1	Develop Certification Readiness Plan and Review Package		60 days	Fri 11/4/16	Thu 1/26/17	469	472	Optum	Ops Manager,Project Manager
472	1.7.2.2	Develop Certification Activities Report		60 days	Fri 1/27/17	Thu 4/20/17	471	473	Optum	Ops Manager,Project Manager
473	1.7.2.3	Prepare and Deliver Certification Readiness Plan and Review Package to State		116 days	Fri 4/21/17	Fri 9/29/17	472	474	Optum	Ops Manager,Project Manager
474	1.7.2.4	<i>Review Certification Review Package</i>	X	10 days	Mon 10/2/17	Fri 10/13/17	473	475	DHS	DHS
475	1.7.2.5	Revise Certification Review Package		5 days	Mon 10/16/17	Fri 10/20/17	474	476	Optum	Ops Manager,Project Manager
476	1.7.2.6	<i>Review and Approve Certification Review Package by State</i>	X	5 days	Mon 10/23/17	Fri 10/27/17	475	477	DHS	DHS
477	1.7.2.7	<i>Review and Approve Certification Review Package by CMS</i>	X	5 days	Mon 10/30/17	Fri 11/3/17	476	478		
478	1.7.2.8	MILESTONE: FEDERAL CERTIFICATION APPROVED BY CMS		0 days	Fri 11/3/17	Fri 11/3/17	477	479		
479	1.7.3	MILESTONE: COMPLETION OF PHASE VI – OPERATIONS AND FEDERAL CERTIFICATION (AND CORE SYSTEMS INTEGRATION)		0 days?	Fri 11/3/17	Fri 11/3/17	478			
480	1.8	PHASE VI - TURNOVER AND CONTRACT CLOSEOUT		133 days	Mon 4/27/20	Thu 10/29/20		495		
481	1.8.1	Turnover		133 days	Mon 4/27/20	Thu 10/29/20				



ID	WBS	Task Name	On Site?	Duration	Start	Finish	Predecessors	Successors	Resource Group	Key Resources
482	1.8.1.1	Turnover Plan - Detailed		44 days	Mon 4/27/20	Fri 6/26/20				
483	1.8.1.1.1	Develop Operations Readiness Review Plan		30 days	Mon 4/27/20	Mon 6/8/20	484SF		Optum	Ops Manager,Project Manager
484	1.8.1.1.2	<i>Review Operations Readiness Review Plan</i>	X	10 days	Mon 6/8/20	Mon 6/22/20	485SF	483SF	DHS	DHS
485	1.8.1.1.3	Revise Operations Readiness Review Plan		2 days	Mon 6/22/20	Wed 6/24/20	486SF	484SF	Optum	Ops Manager,Project Manager
486	1.8.1.1.4	<i>Review and Approve Operations Readiness Review Plan</i>	X	2 days	Wed 6/24/20	Fri 6/26/20	487SF	485SF	DHS	DHS
487	1.8.1.2	Turnover Progress Reports		89 days	Fri 6/26/20	Thu 10/29/20	494FF	486SF	Optum	Ops Manager,Project Manager
488	1.8.2	Contract Closeout		30 days	Thu 9/17/20	Thu 10/29/20				
489	1.8.2.1	Complete Office of State Procurement Requirements		30 days	Thu 9/17/20	Thu 10/29/20	494FF		Optum	Ops Manager,Project Manager
490	1.8.3	Turnover and Contract Closeout		65 days	Thu 7/30/20	Thu 10/29/20				
491	1.8.3.1	Provide Phase-In Training		65 days	Thu 7/30/20	Thu 10/29/20	494FF		Optum	Ops Manager,Project Manager,Ops Documentation/Training Manager
492	1.8.3.2	Turnover Archived Materials		30 days	Thu 9/17/20	Thu 10/29/20	494FF		Optum	Ops Manager,Project Manager
493	1.8.3.3	Certification of Completion – Turnover Status Report		30 days	Thu 9/17/20	Thu 10/29/20	494FF		Optum	Ops Manager,Project Manager
494	1.8.4	MILESTONE: COMPLETION OF PHASE VI - TURNOVER AND CONTRACT CLOSEOUT		0 days	Thu 10/29/20	Thu 10/29/20		487FF,492FF		
495	1.9	Provide Post Turnover Support as needed		66 days	Thu 10/29/20	Thu 1/28/21	480		Optum	Project Manager

Attachment B – Draft Project Work Plan

ID	WBS	Task Name	On Site?	Duration	Start	Finish	Predecessors	Successors	Resource Group	Key Resources
1	1	AME DSS DRAFT PROJECT WORK PLAN		2031 days?	Tue 4/9/13	Thu 1/28/21				
2	1.1	CONTRACT AWARD & APPROVAL		142 days	Tue 4/9/13	Tue 10/29/13				
3	1.1.1	<i>Contract Anticipation to Award Letter</i>		0 days	Tue 4/9/13	Tue 4/9/13			DHS	DHS
4	1.1.2	<i>Contract Approved and Awarded</i>		0 days	Thu 8/29/13	Thu 8/29/13			DHS	DHS
5	1.1.3	<i>Project Start Date</i>		0 days	Tue 10/29/13	Tue 10/29/13		24SF-1 day	DHS	DHS
6	1.2	PROJECT PRE-PLANNING AND INITIAL DOCUMENTATION PREPARATION		60 days	Fri 8/2/13	Mon 10/28/13				
7	1.2.1	Project Initiation Documentation		60 days	Fri 8/2/13	Mon 10/28/13				
8	1.2.1.1	Develop Initial Data Center Facility Plan Template		60 days	Fri 8/2/13	Mon 10/28/13	5SF-1 day		Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
9	1.2.1.2	Develop Initial Infrastructure Assets Inventory Template (2 sub-components)		60 days	Fri 8/2/13	Mon 10/28/13	5SF-1 day		Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
10	1.2.1.3	Develop Initial Computing Environment Plan Template (8 sub-components)		60 days	Fri 8/2/13	Mon 10/28/13	5SF-1 day		Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
11	1.2.1.4	Develop Initial Project Facility Plan - DDI Project Office Template (3 sub-components)		60 days	Fri 8/2/13	Mon 10/28/13	5SF-1 day		Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
12	1.2.1.5	Develop Initial Project Facility Plan - Operations Template (3 sub-components)		60 days	Fri 8/2/13	Mon 10/28/13	5SF-1 day		Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
13	1.2.2	Project Management Office and Administration Documentation		60 days	Fri 8/2/13	Mon 10/28/13				
14	1.2.2.1	Develop Initial Project Management Plan Template		60 days	Fri 8/2/13	Mon 10/28/13	5SF-1 day		Optum	DDI Manager,Project Manager
15	1.2.2.2	Develop Initial Project Tools and Techniques Deliverables Template (12 sub-components)		60 days	Fri 8/2/13	Mon 10/28/13	5SF-1 day		Optum	DDI Manager,Project Manager
16	1.2.2.3	Develop Initial Project Methods and Procedures Template (5 sub-components)		60 days	Fri 8/2/13	Mon 10/28/13	5SF-1 day		Optum	DDI Manager,Project Manager
17	1.2.2.4	Develop Initial Performance Management Process - DDI Phases Template		60 days	Fri 8/2/13	Mon 10/28/13	5SF-1 day		Optum	DDI Manager,Project Manager
18	1.2.2.5	Develop Initial Project Initiation, Management and Administration Setup Template (2 sub-components)		60 days	Fri 8/2/13	Mon 10/28/13	5SF-1 day		Optum	DDI Manager,Project Manager
19	1.2.3	Project Work Plan		60 days	Fri 8/2/13	Mon 10/28/13				
20	1.2.3.1	Develop Detailed Preliminary Project Work Plan		60 days	Fri 8/2/13	Mon 10/28/13	5SF-1 day		Optum	DDI Manager,Project Manager
21	1.2.4	Project Kickoff Meeting Planning		60 days	Fri 8/2/13	Mon 10/28/13				
22	1.2.4.1	Determine Meeting Location and Attendees		60 days	Fri 8/2/13	Mon 10/28/13	5SF-1 day		Optum	Project Manager,DDI Manager
23	1.2.4.2	Develop Detailed Meeting Agenda		60 days	Fri 8/2/13	Mon 10/28/13	5SF-1 day		Optum	DDI Manager,Project Manager
24	1.2.4.3	Invite Attendees		60 days	Fri 8/2/13	Mon 10/28/13	5SF-1 day		Optum	DDI Manager,Project Manager
25	1.3	PHASE I - PROJECT PLANNING AND STARTUP		38 days	Tue 10/29/13	Tue 12/24/13				
26	1.3.1	SDLC STAGE 1 - PLANNING		38 days	Tue 10/29/13	Tue 12/24/13				
27	1.3.1.1	PROJECT KICKOFF MEETING		4 days	Tue 10/29/13	Fri 11/1/13				
28	1.3.1.1.1	Determine Planning Kick-off Meeting Objectives	X	4 days	Tue 10/29/13	Fri 11/1/13	5	34	DHS,Optum	ata Manager,DDI Manager,DDI Technical Solutions Manager,DDI Testing Manage
29	1.3.1.1.2	Review Roles, Responsibilities, Communication and Scope of Services	X	4 days	Tue 10/29/13	Fri 11/1/13	5	34	DHS,Optum	ata Manager,DDI Manager,DDI Technical Solutions Manager,DDI Testing Manage
30	1.3.1.1.3	Review Preliminary Master Project Work Plan	X	4 days	Tue 10/29/13	Fri 11/1/13	5	34	DHS,Optum	ata Manager,DDI Manager,DDI Technical Solutions Manager,DDI Testing Manage
31	1.3.1.1.4	Review Project Initiation and PMO Documentation Templates	X	4 days	Tue 10/29/13	Fri 11/1/13	5	34	DHS,Optum	ata Manager,DDI Manager,DDI Technical Solutions Manager,DDI Testing Manage
32	1.3.1.1.5	Schedule Follow-up Meetings to support Phase 1 Objectives by Business and Functional Area	X	4 days	Tue 10/29/13	Fri 11/1/13	5	34	DHS,Optum	DHS,DDI Business Analytics Manager,Project Manager,DDI Documentation/Training Manager,DDI Interface Data Manager,DDI Manager,DD
33	1.3.1.1.6	Establish Schedules for Recurring Meetings and Status Reporting	X	4 days	Tue 10/29/13	Fri 11/1/13	5	34	DHS,Optum	ata Manager,DDI Manager,DDI Technical Solutions Manager,DDI Testing Manage
34	1.3.1.1.7	<i>Project Kickoff Meeting Complete</i>		0 days	Fri 11/1/13	Fri 11/1/13	28,33,32,30,29	4,76,78,89,80		
35	1.3.1.2	Project Planning and Startup Deliverables		34 days	Mon 11/4/13	Tue 12/24/13			3FS-25 days	
36	1.3.1.2.1	Planning Kick-off Meeting Required Deliverables		34 days	Mon 11/4/13	Tue 12/24/13				
37	1.3.1.2.1.1	Incoming Orientation Plan		29 days	Mon 11/4/13	Tue 12/17/13				
38	1.3.1.2.1.1.1	Develop Incoming Orientation Plan		15 days	Mon 11/4/13	Mon 11/25/13	34	39	Optum	DDI Manager,Project Manager
39	1.3.1.2.1.1.2	<i>Review Incoming Orientation Plan</i>	X	10 days	Tue 11/26/13	Wed 12/11/13	38	40	DHS	DHS
40	1.3.1.2.1.1.3	Revise Incoming Orientation Plan		2 days	Thu 12/12/13	Fri 12/13/13	39	41	Optum	DDI Manager,Project Manager
41	1.3.1.2.1.1.4	<i>Review and Approve Revised Incoming Orientation Plan</i>	X	2 days	Mon 12/16/13	Tue 12/17/13	40		DHS	DHS
42	1.3.1.2.1.2	Contractor Documentation		29 days	Mon 11/4/13	Tue 12/17/13				
43	1.3.1.2.1.2.1	Develop Contractor Documentation		15 days	Mon 11/4/13	Mon 11/25/13	34	44	Optum	DDI Manager,Project Manager
44	1.3.1.2.1.2.2	<i>Review Contractor Documentation</i>	X	10 days	Tue 11/26/13	Wed 12/11/13	43	45	DHS	DHS
45	1.3.1.2.1.2.3	Revise Contractor Documentation		2 days	Thu 12/12/13	Fri 12/13/13	44	46	Optum	DDI Manager,Project Manager
46	1.3.1.2.1.2.4	<i>Review and Approve Revised Contractor Documentation</i>	X	2 days	Mon 12/16/13	Tue 12/17/13	45		DHS	DHS
47	1.3.1.2.1.3	Requirements Traceability Matrix (RTM)		29 days	Mon 11/4/13	Tue 12/17/13				
48	1.3.1.2.1.3.1	Develop Updated Phase 1 RTM		15 days	Mon 11/4/13	Mon 11/25/13	34	49	Optum	DDI Manager,Project Manager,DDI Business Analytics Manager
49	1.3.1.2.1.3.2	<i>Review Updated Phase 1 RTM</i>	X	10 days	Tue 11/26/13	Wed 12/11/13	48	50	DHS	DHS
50	1.3.1.2.1.3.3	Revise Updated Phase 1 RTM		2 days	Thu 12/12/13	Fri 12/13/13	49	51	Optum	DDI Manager,Project Manager,DDI Business Analytics Manager
51	1.3.1.2.1.3.4	<i>Review and Approve Updated Phase 1 RTM</i>	X	2 days	Mon 12/16/13	Tue 12/17/13	50		DHS	DHS
52	1.3.1.2.1.4	Systems Engineering Management Plan (SEMP) Engineering Requirements (all components and services)		29 days	Mon 11/4/13	Tue 12/17/13				

ID	WBS	Task Name	On Site?	Duration	Start	Finish	Predecessors	Successors	Resource Group	Key Resources
53	1.3.1.2.1.4.1	Develop Updated Phase 1 SEMP		15 days	Mon 11/4/13	Mon 11/25/13	34	54	Optum	ager,DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manage
54	1.3.1.2.1.4.2	<i>Review Updated Phase 1 SEMP</i>	X	10 days	Tue 11/26/13	Wed 12/11/13	53	55	DHS	DHS
55	1.3.1.2.1.4.3	Revise Updated Phase 1 SEMP		2 days	Thu 12/12/13	Fri 12/13/13	54	56	Optum	ager,DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manage
56	1.3.1.2.1.4.4	<i>Review and Approve Updated Phase 1 SEMP</i>	X	2 days	Mon 12/16/13	Tue 12/17/13	55		DHS	DHS
57	1.3.1.2.1.5	Test and Evaluation Management Plan (TEMP) (all components and services)		29 days	Mon 11/4/13	Tue 12/17/13				
58	1.3.1.2.1.5.1	Develop Updated Phase 1 TEMP		15 days	Mon 11/4/13	Mon 11/25/13	34	59	Optum	Project Manager,DDI Manager,DDI Testing Manager
59	1.3.1.2.1.5.2	<i>Review Updated Phase 1 TEMP</i>	X	10 days	Tue 11/26/13	Wed 12/11/13	58	60	DHS	DHS
60	1.3.1.2.1.5.3	Revise Updated Phase 1 TEMP		2 days	Thu 12/12/13	Fri 12/13/13	59	61	Optum	Project Manager,DDI Manager,DDI Testing Manager
61	1.3.1.2.1.5.4	<i>Review and Approve Revised Updated Phase 1 TEMP</i>	X	2 days	Mon 12/16/13	Tue 12/17/13	60		DHS	DHS
62	1.3.1.2.1.6	Performance Management Plan – Operations		10 days	Mon 11/4/13	Mon 11/18/13				
63	1.3.1.2.1.6.1	Develop Initial Performance Management Plan Template		10 days	Mon 11/4/13	Mon 11/18/13	34		Optum	DDI Manager,Project Manager
64	1.3.1.2.1.7	Data Center Computing Environment - Specifications Plan		34 days	Mon 11/4/13	Tue 12/24/13				
65	1.3.1.2.1.7.1	Develop Initial Data Center Computing Environment - Specifications Plan		20 days	Mon 11/4/13	Wed 12/4/13	34	66	Optum	ager,DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manage
66	1.3.1.2.1.7.2	<i>Review Data Center Computing Environment - Specifications Plan</i>	X	10 days	Thu 12/5/13	Wed 12/18/13	65	67	DHS	DHS
67	1.3.1.2.1.7.3	Revise Data Center Computing Environment - Specifications Plan		2 days	Thu 12/19/13	Fri 12/20/13	66	68	Optum	ager,DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manage
68	1.3.1.2.1.7.4	<i>Review and Approve Revised Data Center Computing Environment - Specifications Plan</i>	X	2 days	Mon 12/23/13	Tue 12/24/13	67		DHS	DHS
69	1.3.1.2.1.8	Technical infrastructure Plan (TIP)		10 days	Mon 11/4/13	Mon 11/18/13				
70	1.3.1.2.1.8.1	Develop Technical infrastructure Plan (TIP) Template		10 days	Mon 11/4/13	Mon 11/18/13	34		Optum	Project Manager,DDI Manager,DDI Technical Solutions Manager
71	1.3.1.2.1.9	Configuration and Integration Plan (CIP)		10 days	Mon 11/4/13	Mon 11/18/13				
72	1.3.1.2.1.9.1	Develop Configuration and Integration Plan (CIP) Template		10 days	Mon 11/4/13	Mon 11/18/13	34		Optum	ager,DDI Manager,DDI Technical Solutions Manager,DDI Interface Data Manage
73	1.3.1.2.1.10	Configuration Management Plan		10 days	Mon 11/4/13	Mon 11/18/13				
74	1.3.1.2.1.10.1	Develop Configuration Management Plan Template		10 days	Mon 11/4/13	Mon 11/18/13	34		Optum	Project Manager,DDI Manager,DDI Technical Solutions Manager
75	1.3.1.2.1.11	Defect Identification and Problem Resolution Plan (DIPRP)		10 days	Mon 11/4/13	Mon 11/18/13				
76	1.3.1.2.1.11.1	Develop DIPRP Template		10 days	Mon 11/4/13	Mon 11/18/13	34		Optum	Project Manager,DDI Manager
77	1.3.1.2.1.12	Score Card Criteria Plan Template		10 days	Mon 11/4/13	Mon 11/18/13				
78	1.3.1.2.1.12.1	Develop Score Card Criteria Plan Template		10 days	Mon 11/4/13	Mon 11/18/13	34		Optum	Project Manager,DDI Manager
79	1.3.1.2.1.13	Project Turnover Management Plan		10 days	Mon 11/4/13	Mon 11/18/13				
80	1.3.1.2.1.13.1	Develop Project Turnover Management Plan Template		10 days	Mon 11/4/13	Mon 11/18/13	34		Optum	Project Manager,DDI Manager
81	1.3.1.2.1.14	Training Master Plan		10 days	Mon 11/4/13	Mon 11/18/13				
82	1.3.1.2.1.14.1	Develop Initial Training Master Plan Template		10 days	Mon 11/4/13	Mon 11/18/13	34		Optum	Project Manager,DDI Manager,DDI Documentation/Training Manager
83	1.3.1.2.1.15	Staffing Management Plan		34 days	Mon 11/4/13	Tue 12/24/13				
84	1.3.1.2.1.15.1	Develop Staffing Management Plan		20 days	Mon 11/4/13	Wed 12/4/13	34	85	Optum	Project Manager
85	1.3.1.2.1.15.2	<i>Review Staffing Management Plan</i>	X	10 days	Thu 12/5/13	Wed 12/18/13	84	86	DHS	DHS
86	1.3.1.2.1.15.3	Revise Staffing Management Plan		2 days	Thu 12/19/13	Fri 12/20/13	85	87	Optum	Project Manager
87	1.3.1.2.1.15.4	<i>Review and Approve Revised Staffing Management Plan</i>	X	2 days	Mon 12/23/13	Tue 12/24/13	86		DHS	DHS
88	1.3.1.2.1.16	Phase I Completion Report		10 days	Mon 11/4/13	Mon 11/18/13				
89	1.3.1.2.1.16.1	Develop Phase I Completion Report Template		10 days	Mon 11/4/13	Mon 11/18/13	34		Optum	Project Manager,DDI Manager
90	1.3.1.2.2	Project Initiation Documentation		34 days	Mon 11/4/13	Tue 12/24/13				
91	1.3.1.2.2.1	Data Center Facility Plan		34 days	Mon 11/4/13	Tue 12/24/13				
92	1.3.1.2.2.1.1	Develop Initial Data Center Facility Plan		20 days	Mon 11/4/13	Wed 12/4/13	34	93	Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
93	1.3.1.2.2.1.2	<i>Review Data Center Facility Plan</i>	X	10 days	Thu 12/5/13	Wed 12/18/13	92	94	DHS	DHS
94	1.3.1.2.2.1.3	Revise Initial Data Center Facility Plan		2 days	Thu 12/19/13	Fri 12/20/13	93	95	Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
95	1.3.1.2.2.1.4	<i>Review and Approve Revised Data Center Facility Plan</i>	X	2 days	Mon 12/23/13	Tue 12/24/13	94		DHS	DHS
96	1.3.1.2.2.2	Infrastructure Assets Inventory (2 sub-components)		29 days	Mon 11/4/13	Tue 12/17/13				
97	1.3.1.2.2.2.1	Develop Initial Infrastructure Assets Inventory		15 days	Mon 11/4/13	Mon 11/25/13	34	98	Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
98	1.3.1.2.2.2.2	<i>Review Infrastructure Assets Inventory</i>	X	10 days	Tue 11/26/13	Wed 12/11/13	97	99	DHS	DHS
99	1.3.1.2.2.2.3	Revise Infrastructure Assets Inventory		2 days	Thu 12/12/13	Fri 12/13/13	98	100	Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
100	1.3.1.2.2.2.4	<i>Review and Approve Revised Infrastructure Assets Inventory</i>	X	2 days	Mon 12/16/13	Tue 12/17/13	99		DHS	DHS
101	1.3.1.2.2.3	Computing Environment Plan (8 sub-components)		34 days	Mon 11/4/13	Tue 12/24/13				
102	1.3.1.2.2.3.1	Develop Initial Computing Environment Plan		20 days	Mon 11/4/13	Wed 12/4/13	34	103	Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
103	1.3.1.2.2.3.2	<i>Review Computing Environment Plan</i>	X	10 days	Thu 12/5/13	Wed 12/18/13	102	104	DHS	DHS
104	1.3.1.2.2.3.3	Revise Computing Environment Plan		2 days	Thu 12/19/13	Fri 12/20/13	103	105	Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
105	1.3.1.2.2.3.4	<i>Review and Approve Revised Computing Environment Plan</i>	X	2 days	Mon 12/23/13	Tue 12/24/13	104		DHS	DHS
106	1.3.1.2.2.4	Project Facility Plan - DDI Project Office (3 sub-components)		34 days	Mon 11/4/13	Tue 12/24/13				

ID	WBS	Task Name	On Site?	Duration	Start	Finish	Predecessors	Successors	Resource Group	Key Resources
107	1.3.1.2.2.4.1	Develop Initial Project Facility Plan - DDI Project Office		20 days	Mon 11/4/13	Wed 12/4/13	34	108	Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
108	1.3.1.2.2.4.2	<i>Review Project Facility Plan - DDI Project Office</i>	X	10 days	Thu 12/5/13	Wed 12/18/13	107	109	DHS	DHS
109	1.3.1.2.2.4.3	Revise Project Facility Plan - DDI Project Office		2 days	Thu 12/19/13	Fri 12/20/13	108	110	Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
110	1.3.1.2.2.4.4	<i>Review and Approve Revised Project Facility Plan - DDI Project Office</i>	X	2 days	Mon 12/23/13	Tue 12/24/13	109		DHS	DHS
111	1.3.1.2.2.5	Project Facility Plan - Operations (3 sub-components)		24 days	Mon 11/4/13	Tue 12/10/13				
112	1.3.1.2.2.5.1	Develop Initial Project Facility Plan - Operations		10 days	Mon 11/4/13	Mon 11/18/13	34	113	Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
113	1.3.1.2.2.5.2	<i>Review Project Facility Plan - Operations</i>	X	10 days	Tue 11/19/13	Wed 12/4/13	112	114	DHS	DHS
114	1.3.1.2.2.5.3	Revise Project Facility Plan - Operations		2 days	Thu 12/5/13	Fri 12/6/13	113	115	Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
115	1.3.1.2.2.5.4	<i>Review and Approve Revised Project Facility Plan - Operations</i>	X	2 days	Mon 12/9/13	Tue 12/10/13	114		DHS	DHS
116	1.3.1.2.3	Project Management Office and Administration Documentation		34 days	Mon 11/4/13	Tue 12/24/13				
117	1.3.1.2.3.1	Project Management Plan		34 days	Mon 11/4/13	Tue 12/24/13				
118	1.3.1.2.3.1.1	Develop Initial Project Management Plan		20 days	Mon 11/4/13	Wed 12/4/13	34	119	Optum	Project Manager,DDI Manager
119	1.3.1.2.3.1.2	<i>Review Project Management Plan</i>	X	10 days	Thu 12/5/13	Wed 12/18/13	118	120	DHS	DHS
120	1.3.1.2.3.1.3	Revise Project Management Plan		2 days	Thu 12/19/13	Fri 12/20/13	119	121	Optum	Project Manager,DDI Manager
121	1.3.1.2.3.1.4	<i>Review and Approve Revised Project Management Plan</i>	X	2 days	Mon 12/23/13	Tue 12/24/13	120		DHS	DHS
122	1.3.1.2.3.2	Project Tools and Techniques Deliverables (12 sub-components)		24 days	Mon 11/4/13	Tue 12/10/13				
123	1.3.1.2.3.2.1	Develop Initial Project Tools and Techniques Deliverables		10 days	Mon 11/4/13	Mon 11/18/13	34	124	Optum	Project Manager,DDI Manager
124	1.3.1.2.3.2.2	<i>Review Project Tools and Techniques Deliverables</i>	X	10 days	Tue 11/19/13	Wed 12/4/13	123	125	DHS	DHS
125	1.3.1.2.3.2.3	Revise Project Tools and Techniques Deliverables		2 days	Thu 12/5/13	Fri 12/6/13	124	126	Optum	Project Manager,DDI Manager
126	1.3.1.2.3.2.4	<i>Review and Approve Revised Project Tools and Techniques Deliverables</i>	X	2 days	Mon 12/9/13	Tue 12/10/13	125		DHS	DHS
127	1.3.1.2.3.3	Project Methods and Procedures (5 sub-components)		24 days	Mon 11/4/13	Tue 12/10/13				
128	1.3.1.2.3.3.1	Develop Initial Project Methods and Procedures		10 days	Mon 11/4/13	Mon 11/18/13	34	129	Optum	Project Manager,DDI Manager
129	1.3.1.2.3.3.2	<i>Review Project Methods and Procedures</i>	X	10 days	Tue 11/19/13	Wed 12/4/13	128	130	DHS	DHS
130	1.3.1.2.3.3.3	Revise Project Methods and Procedures		2 days	Thu 12/5/13	Fri 12/6/13	129	131	Optum	Project Manager,DDI Manager
131	1.3.1.2.3.3.4	<i>Review and Approve Revised Project Methods and Procedures</i>	X	2 days	Mon 12/9/13	Tue 12/10/13	130		DHS	DHS
132	1.3.1.2.3.4	Performance Management Process - DDI Phases		24 days	Mon 11/4/13	Tue 12/10/13				
133	1.3.1.2.3.4.1	Develop Initial Performance Management Process - DDI Phases		10 days	Mon 11/4/13	Mon 11/18/13	34	134	Optum	Project Manager,DDI Manager
134	1.3.1.2.3.4.2	<i>Review Performance Management Process - DDI Phases</i>	X	10 days	Tue 11/19/13	Wed 12/4/13	133	135	DHS	DHS
135	1.3.1.2.3.4.3	Revise Performance Management Process - DDI Phases		2 days	Thu 12/5/13	Fri 12/6/13	134	136	Optum	Project Manager,DDI Manager
136	1.3.1.2.3.4.4	<i>Review and Approve Revised Performance Management Process - DDI Phases</i>	X	2 days	Mon 12/9/13	Tue 12/10/13	135		DHS	DHS
137	1.3.1.2.3.5	Project Initiation, Management and Administration Setup (2 sub-components)		24 days	Mon 11/4/13	Tue 12/10/13				
138	1.3.1.2.3.5.1	Develop Initial Project Initiation, Management and Administration Setup		10 days	Mon 11/4/13	Mon 11/18/13	34	139	Optum	Project Manager,DDI Manager
139	1.3.1.2.3.5.2	<i>Review Project Initiation, Management and Administration Setup</i>	X	10 days	Tue 11/19/13	Wed 12/4/13	138	140	DHS	DHS
140	1.3.1.2.3.5.3	Revise Project Initiation, Management and Administration Setup		2 days	Thu 12/5/13	Fri 12/6/13	139	141	Optum	Project Manager,DDI Manager
141	1.3.1.2.3.5.4	<i>Review and Approve Revised Project Initiation, Management and Administration Setup</i>	X	2 days	Mon 12/9/13	Tue 12/10/13	140		DHS	DHS
142	1.3.1.2.4	Technical Architecture Specifications		34 days	Mon 11/4/13	Tue 12/24/13				
143	1.3.1.2.4.1	Technical Architecture Specifications Components		20 days	Mon 11/4/13	Wed 12/4/13				
144	1.3.1.2.4.1.1	Technical Services Requirements (Attachment G2)		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
145	1.3.1.2.4.1.2	Technical Infrastructure Plan (TIP) (6 sub-components)		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
146	1.3.1.2.4.1.3	Software and Services Implementation Plan		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
147	1.3.1.2.4.1.4	Shared Services Implementation Plan		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
148	1.3.1.2.4.1.5	Federal Certification Criteria / Mapping Plan		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
149	1.3.1.2.4.1.6	Configuration and Integration Plan (Hardware and Networks)		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
150	1.3.1.2.4.1.7	Configuration Management Plan (System and Services Software)		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
151	1.3.1.2.4.1.8	Defect Identification and Resolution Plan		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
152	1.3.1.2.4.2	Develop Initial Technical Architecture Specifications		20 days	Mon 11/4/13	Wed 12/4/13	34	153	Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
153	1.3.1.2.4.3	<i>Review Technical Architecture Specifications</i>	X	10 days	Thu 12/5/13	Wed 12/18/13	152	154	DHS	DHS
154	1.3.1.2.4.4	Revise Technical Architecture Specifications		2 days	Thu 12/19/13	Fri 12/20/13	153	155	Optum	DDI Technical Solutions Manager,DDI Manager,Project Manager
155	1.3.1.2.4.5	<i>Review and Approve Revised Technical Architecture Specifications</i>	X	2 days	Mon 12/23/13	Tue 12/24/13	154		DHS	DHS
156	1.3.1.2.5	Information Architecture Specifications		34 days	Mon 11/4/13	Tue 12/24/13				
157	1.3.1.2.5.1	Information Architecture Specifications Components		20 days	Mon 11/4/13	Wed 12/4/13				
158	1.3.1.2.5.1.1	Data Management Requirements		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
159	1.3.1.2.5.1.2	Data Conversion and Migration Plan		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager
160	1.3.1.2.5.1.3	Data Models and Data Dictionaries		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	DDI Technical Solutions Manager,Project Manager,DDI Manager



ID	WBS	Task Name	On Site?	Duration	Start	Finish	Predecessors	Successors	Resource Group	Key Resources	
161	1.3.1.2.5.2	Develop Initial Information Architecture Specifications		20 days	Mon 11/4/13	Wed 12/4/13	34	162	Optum	ie Data Manager,DDI Manager,DDI Technical Solutions Manager,Project Manage	
162	1.3.1.2.5.3	<i>Review Information Architecture Specifications</i>	X	10 days	Thu 12/5/13	Wed 12/18/13	161	163	DHS	DHS	
163	1.3.1.2.5.4	Revise Information Architecture Specifications		2 days	Thu 12/19/13	Fri 12/20/13	162	164	Optum	ie Data Manager,DDI Manager,DDI Technical Solutions Manager,Project Manage	
164	1.3.1.2.5.5	<i>Review and Approve Revised Information Architecture Specifications</i>	X	2 days	Mon 12/23/13	Tue 12/24/13	163		DHS	DHS	
165	1.3.1.2.6	Business Architecture Specifications		34 days	Mon 11/4/13	Tue 12/24/13					
166	1.3.1.2.6.1	Business Architecture Specifications Components		20 days	Mon 11/4/13	Wed 12/4/13					
167	1.3.1.2.6.1.1	Facility Blueprints (Facility, Function, Work Group)		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	DDI Manager,DDI Technical Solutions Manager,Project Manage	
168	1.3.1.2.6.1.2	Facility Equipment, Engineering, and Test Plan		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	DDI Manager,DDI Technical Solutions Manager,Project Manage	
169	1.3.1.2.6.1.3	Services (Exchange/Messaging) Activation Plan		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	er,DDI Technical Solutions Manager,Project Manager,DDI Interface Data Manage	
170	1.3.1.2.6.1.4	Services Requirements (G3)		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	DI Technical Solutions Manager,Project Manager,DDI Business Analytics Manage	
171	1.3.1.2.6.1.5	Services Workflow Analysis and Design Plan		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	ons Manager,Project Manager,DDI Business Analyst,DDI Interface Data Manage	
172	1.3.1.2.6.1.6	Services Acceptance Test Plan		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	Business Analytics Manager,DDI Manager,DDI Testing Manager,Project Manage	
173	1.3.1.2.6.1.7	Services Training Plan		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	DDI Documentation/Training Manager,DDI Manager,Project Manager	
174	1.3.1.2.6.1.8	Services Rollout Plan		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	DDI Documentation/Training Manager,DDI Manager,Project Manager	
175	1.3.1.2.6.1.9	Services Assurance Plan (post-installation)		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	DDI Manager,Project Manager	
176	1.3.1.2.6.1.10	Score Card Criteria Plan		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	DDI Manager,Project Manager	
177	1.3.1.2.6.1.11	Project Turnover Management Plan (High-Level)		20 days	Mon 11/4/13	Wed 12/4/13	34		Optum	DDI Manager,Project Manager	
178	1.3.1.2.6.2	Develop Initial Business Architecture Specifications		20 days	Mon 11/4/13	Wed 12/4/13	34	179	Optum	DDI Manager,Project Manager	
179	1.3.1.2.6.3	<i>Review Business Architecture Specifications</i>	X	10 days	Thu 12/5/13	Wed 12/18/13	178	180	DHS	DHS	
180	1.3.1.2.6.4	Revise Business Architecture Specifications		2 days	Thu 12/19/13	Fri 12/20/13	179	181	Optum	DDI Manager,Project Manager	
181	1.3.1.2.6.5	<i>Review and Approve Revised Business Architecture Specifications</i>	X	2 days	Mon 12/23/13	Tue 12/24/13	180		DHS	DHS	
182	1.3.1.3	Phase I Completion Report		24 days	Mon 11/18/13	Mon 12/23/13			187		
183	1.3.1.3.1	Develop Initial Phase I Completion Report		10 days	Mon 11/18/13	Tue 12/3/13	35FS-25 days		184	Optum	DDI Manager,Project Manager
184	1.3.1.3.2	<i>Review Phase I Completion Report</i>	X	10 days	Wed 12/4/13	Tue 12/17/13		183	185	DHS	DHS
185	1.3.1.3.3	Revise Phase I Completion Report		2 days	Wed 12/18/13	Thu 12/19/13		184	186	Optum	DDI Manager,Project Manager
186	1.3.1.3.4	<i>Review and Approve Revised Phase I - Completion Report</i>	X	2 days	Fri 12/20/13	Mon 12/23/13		185		DHS	DHS
187	1.3.2	MILESTONE: COMPLETION OF PHASE I - PROJECT PLANNING AND STARTUP		0 days	Mon 12/23/13	Mon 12/23/13			182	19FS+6 days	
188	1.4	PHASE II – INFRASTRUCTURE AND DEVELOPMENT, CONFIGURATION AND IMPLEMENTATION		175 days	Thu 1/2/14	Wed 9/3/14					
189	1.4.1	INFRASTRUCTURE AND DEVELOPMENT		29 days	Fri 2/7/14	Wed 3/19/14					
190	1.4.1.1	Technical Architecture Design		29 days	Fri 2/7/14	Wed 3/19/14					
191	1.4.1.1.1	Technical Infrastructure Deployment Specifications and Guide		29 days	Fri 2/7/14	Wed 3/19/14					
192	1.4.1.1.1.1	Develop Initial Technical Infrastructure Deployment Specifications and Guide		15 days	Fri 2/7/14	Thu 2/27/14	234	193	Optum	Project Manager,DDI Manager,DDI Technical Solutions Manager	
193	1.4.1.1.1.2	<i>Review Technical Infrastructure Deployment Specifications and Guide</i>	X	10 days	Fri 2/28/14	Thu 3/13/14	192	194	DHS	DHS	
194	1.4.1.1.1.3	Revise Technical Infrastructure Deployment Specifications and Guide		2 days	Fri 3/14/14	Mon 3/17/14	193	195	Optum	Project Manager,DDI Manager,DDI Technical Solutions Manager	
195	1.4.1.1.1.4	<i>Review and Approve Revised Technical Infrastructure Deployment Specifications and Guide</i>	X	2 days	Tue 3/18/14	Wed 3/19/14	194		DHS	DHS	
196	1.4.1.1.2	Prepare and Deliver Technical Infrastructure Administration Procedures		10 days	Fri 2/7/14	Thu 2/20/14	234		Optum	DDI Manager,DDI Technical Solutions Manager,Project Manager	
197	1.4.1.1.3	Prepare and Deliver Technical Infrastructure Review and Acceptance Report		10 days	Fri 2/7/14	Thu 2/20/14	234		Optum	DDI Manager,DDI Technical Solutions Manager,Project Manager	
198	1.4.1.1.4	Update Configuration and Integration Plan		24 days	Fri 2/7/14	Wed 3/12/14					
199	1.4.1.1.4.1	Update and deliver Configuration and Integration Plan.		10 days	Fri 2/7/14	Thu 2/20/14	234	200	Optum	DDI Manager,DDI Technical Solutions Manager,Project Manager	
200	1.4.1.1.4.2	<i>Review Updated Configuration and Integration Plan</i>	X	10 days	Fri 2/21/14	Thu 3/6/14	199	201	DHS	DHS	
201	1.4.1.1.4.3	Revise Updated Configuration and Integration Plan		2 days	Fri 3/7/14	Mon 3/10/14	200	202	Optum	Project Manager,DDI Manager,DDI Technical Solutions Manager	
202	1.4.1.1.4.4	<i>Review and Approve Updated Configuration and Integration Plan</i>	X	2 days	Tue 3/11/14	Wed 3/12/14	201		DHS	DHS	
203	1.4.2	CONFIGURATION AND INTEGRATION		175 days	Thu 1/2/14	Wed 9/3/14					
204	1.4.2.1	SDLC STAGE 2 - REQUIREMENTS VALIDATION		26 days	Thu 1/2/14	Thu 2/6/14					
205	1.4.2.1.1	Requirements Validation JAD Sessions		12 days	Thu 1/2/14	Fri 1/17/14					
206	1.4.2.1.1.1	Integration Requirement Validation JAD Sessions	X	4 days	Thu 1/2/14	Tue 1/7/14		221,222			
207	1.4.2.1.1.1.1	<i>Configuration Requirements</i>	X	4 days	Thu 1/2/14	Tue 1/7/14	187FS+6 days		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manage	
208	1.4.2.1.1.1.2	<i>Environmental Requirements</i>	X	4 days	Thu 1/2/14	Tue 1/7/14	187FS+6 days		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manage	
209	1.4.2.1.1.1.3	<i>Network Requirements</i>	X	4 days	Thu 1/2/14	Tue 1/7/14	187FS+6 days		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manage	
210	1.4.2.1.1.1.4	<i>Usability and Accessibility Requirements</i>	X	4 days	Thu 1/2/14	Tue 1/7/14	187FS+6 days		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manage	
211	1.4.2.1.1.1.5	<i>Technical Coordination</i>	X	4 days	Thu 1/2/14	Tue 1/7/14	187FS+6 days		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manage	
212	1.4.2.1.1.1.6	<i>Training Requirements</i>	X	4 days	Thu 1/2/14	Tue 1/7/14	187FS+6 days		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manage	
213	1.4.2.1.1.1.7	<i>Interface Requirements</i>	X	4 days	Thu 1/2/14	Tue 1/7/14	187FS+6 days		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manage	
214	1.4.2.1.1.1.8	<i>Electronic Documentation Requirements</i>	X	4 days	Thu 1/2/14	Tue 1/7/14	187FS+6 days		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manage	



ID	WBS	Task Name	On Site?	Duration	Start	Finish	Predecessors	Successors	Resource Group	Key Resources
215	1.4.2.1.1.1.9	<i>Rules Management Concept</i>	X	4 days	Thu 1/2/14	Tue 1/7/14	187FS+6 days		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manage
216	1.4.2.1.1.1.10	<i>Systems Performance Management</i>	X	4 days	Thu 1/2/14	Tue 1/7/14	187FS+6 days		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manage
217	1.4.2.1.1.1.11	<i>Performance Objectives - State</i>	X	4 days	Thu 1/2/14	Tue 1/7/14	187FS+6 days		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manage
218	1.4.2.1.1.1.12	<i>Performance Responsibilities - Contractor</i>	X	4 days	Thu 1/2/14	Tue 1/7/14	187FS+6 days		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manage
219	1.4.2.1.1.1.13	<i>DSS Performance Standards</i>	X	4 days	Thu 1/2/14	Tue 1/7/14	187FS+6 days		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manage
220	1.4.2.1.1.2	Services Requirements Validation JAD Sessions	X	4 days	Wed 1/8/14	Mon 1/13/14		224,225		
221	1.4.2.1.1.2.1	<i>Program Integrity and Decision Support Services</i>	X	4 days	Wed 1/8/14	Mon 1/13/14	206		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manage
222	1.4.2.1.1.2.2	<i>Services Staffing Skill Set Requirements</i>	X	4 days	Wed 1/8/14	Mon 1/13/14	206		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manage
223	1.4.2.1.1.3	Systems Requirements Validation JAD Sessions	X	4 days	Tue 1/14/14	Fri 1/17/14		226		
224	1.4.2.1.1.3.1	<i>Federal Requirements</i>	X	4 days	Tue 1/14/14	Fri 1/17/14	220		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manage
225	1.4.2.1.1.3.2	<i>State-Defined Requirements</i>	X	4 days	Tue 1/14/14	Fri 1/17/14	220		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manage
226	1.4.2.1.2	Milestone: Requirements Validation JAD Sessions Complete		0 days	Fri 1/17/14	Fri 1/17/14	223	228FF		
227	1.4.2.1.3	Requirements Traceability Matrix		24 days	Mon 1/6/14	Thu 2/6/14				
228	1.4.2.1.3.1	Analyze Requirements and Update Requirements Database and RTM		10 days	Mon 1/6/14	Fri 1/17/14	226FF	29FS-5 days	Optum	er,Project Manager,DDI Business Analytics Manager,DDI Technical Solutions Manager,Project Manage
229	1.4.2.1.3.2	Provide Updated Requirements Traceability Matrix		10 days	Mon 1/13/14	Fri 1/24/14	228FS-5 days	230	Optum	er,Project Manager,DDI Business Analytics Manager,DDI Technical Solutions Manage
230	1.4.2.1.3.3	<i>Review Updated Requirements Traceability Matrix</i>	X	5 days	Mon 1/27/14	Fri 1/31/14	229	231	DHS	DHS
231	1.4.2.1.3.4	Revise Requirements Traceability Matrix		2 days	Mon 2/3/14	Tue 2/4/14	230	232	Optum	er,Project Manager,DDI Business Analytics Manager,DDI Technical Solutions Manage
232	1.4.2.1.3.5	<i>Review and Approve Requirements Traceability Matrix</i>	X	2 days	Wed 2/5/14	Thu 2/6/14	231	233	DHS	DHS
233	1.4.2.1.3.6	Milestone: Requirements Traceability Matrix for AME DSS Developed and Updated		0 days	Thu 2/6/14	Thu 2/6/14	232	234		
234	1.4.2.1.4	MILESTONE: COMPLETION OF REQUIREMENTS VALIDATION		0 days	Thu 2/6/14	Thu 2/6/14	233	249,256,257		
235	1.4.2.2	SDLC STAGE 3 - SYSTEM DESIGN		37 days	Fri 2/7/14	Mon 3/31/14				
236	1.4.2.2.1	Information Architecture Design		35 days	Fri 2/7/14	Thu 3/27/14				
237	1.4.2.2.1.1	Interface Control Documents		35 days	Fri 2/7/14	Thu 3/27/14				
238	1.4.2.2.1.1.1	Develop Initial Interface Control Documents		15 days	Fri 2/7/14	Thu 2/27/14	234	239	Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager,Project Manager
239	1.4.2.2.1.1.2	<i>Review Interface Control Documents</i>	X	10 days	Fri 2/28/14	Thu 3/13/14	238	240	DHS	DHS
240	1.4.2.2.1.1.3	Revise Interface Control Documents		5 days	Fri 3/14/14	Thu 3/20/14	239	241	Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager,Project Manager
241	1.4.2.2.1.1.4	<i>Review and Approve Revised Interface Control Documents</i>	X	5 days	Fri 3/21/14	Thu 3/27/14	240		DHS	DHS
242	1.4.2.2.2	Business Architecture Design		37 days	Fri 2/7/14	Mon 3/31/14				
243	1.4.2.2.2.1	Functional Design Document (Detailed Systems Design)		37 days	Fri 2/7/14	Mon 3/31/14				
244	1.4.2.2.2.1.1	Database Design & Data Modeling Components		15 days	Fri 2/7/14	Thu 2/27/14	234		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager
245	1.4.2.2.2.1.2	Data Architecture & System Interface Components		15 days	Fri 2/7/14	Thu 2/27/14	234		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager
246	1.4.2.2.2.1.3	Metadata & Data Standards Components		15 days	Fri 2/7/14	Thu 2/27/14	234		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager
247	1.4.2.2.2.1.4	Data User Interface Components		15 days	Fri 2/7/14	Thu 2/27/14	234		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager
248	1.4.2.2.2.1.5	Data Analytics & Data Visualization Components		15 days	Fri 2/7/14	Thu 2/27/14	234		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager
249	1.4.2.2.2.1.6	Federal & State Reporting Components		15 days	Fri 2/7/14	Thu 2/27/14	234	250	Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager
250	1.4.2.2.2.1.7	Compile Design Components and Provide Cosolidated Functional Design to State		2 days	Fri 2/28/14	Mon 3/3/14	249	251	Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager
251	1.4.2.2.2.1.8	<i>Review Functional Design Documents</i>	X	10 days	Tue 3/4/14	Mon 3/17/14	250	252	DHS	DHS
252	1.4.2.2.2.1.9	Revise Functional Design Documents		5 days	Tue 3/18/14	Mon 3/24/14	251	253	Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager
253	1.4.2.2.2.1.10	<i>Review and Approve Revised Functional Design Documents</i>	X	5 days	Tue 3/25/14	Mon 3/31/14	252	254	DHS	DHS
254	1.4.2.2.2.2	Milestone: Functional Design Complete		0 days	Mon 3/31/14	Mon 3/31/14	253	259FF,261FF		
255	1.4.2.2.3	Build Initial System Environments		30 days	Fri 2/7/14	Thu 3/20/14		262		
256	1.4.2.2.3.1	Build Development and Unit Test Environment		30 days	Fri 2/7/14	Thu 3/20/14	234		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
257	1.4.2.2.3.2	Build System Test and Integration Test Environment		30 days	Fri 2/7/14	Thu 3/20/14	234		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
258	1.4.2.2.4	Update Project Documentation		5 days	Tue 3/25/14	Mon 3/31/14		262		
259	1.4.2.2.4.1	Update Project Work Plan		5 days	Tue 3/25/14	Mon 3/31/14	254FF		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager,DDI Manager,Project Manager
260	1.4.2.2.4.2	Update Other Project Documentation (as necessary)		5 days	Tue 3/25/14	Mon 3/31/14	254FF		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager,DDI Manager,Project Manager
261	1.4.2.2.4.3	Update RTM		5 days	Tue 3/25/14	Mon 3/31/14	254FF		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager,DDI Manager,Project Manager
262	1.4.2.2.5	MILESTONE: COMPLETION OF SYSTEM DESIGN		0 days	Mon 3/31/14	Mon 3/31/14	258,254,255	292,293,294		
263	1.4.2.3	SDLC STAGE 4 - DEVELOPMENT (CONSTRUCTION & UNIT TESTING)		45 days	Tue 4/1/14	Mon 6/2/14				
264	1.4.2.3.1	Construction & Unit Testing (RUP Iterative Approach)		30 days	Tue 4/1/14	Mon 5/12/14		313FF,314FF		
265	1.4.2.3.1.1	Database Design & Data Modeling Components		30 days	Tue 4/1/14	Mon 5/12/14				
266	1.4.2.3.1.1.1	DSS <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
267	1.4.2.3.1.1.2	FADS/SURS <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager,DDI Manager,DDI FADS Resources,DDI Manager
268	1.4.2.3.1.1.3	MARS and Federal Reporting <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	er,Project Manager,DDI Business Analytics Manager,DDI Interface Data Manager,DDI Manager,DDI IMARS Resources,DDI Manager

ID	WBS	Task Name	On Site?	Duration	Start	Finish	Predecessors	Successors	Resource Group	Key Resources
269	1.4.2.3.1.1.4	Prepayment Detection <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI Manager,DDI Prepay Resources
270	1.4.2.3.1.2	Data Architecture & System Interface Components		30 days	Tue 4/1/14	Mon 5/12/14				
271	1.4.2.3.1.2.1	DSS <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
272	1.4.2.3.1.2.2	FADS/SURS <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI FADS Resources,DDI Manager
273	1.4.2.3.1.2.3	MARS and Federal Reporting <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI IMARS Resources,DDI Manager
274	1.4.2.3.1.2.4	Prepayment Detection <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI Manager,DDI Prepay Resources
275	1.4.2.3.1.3	Metadata & Data Standards Components		30 days	Tue 4/1/14	Mon 5/12/14				
276	1.4.2.3.1.3.1	DSS <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI Business Analytics Manager,DDI Manager
277	1.4.2.3.1.3.2	FADS/SURS <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI FADS Resources,DDI Manager
278	1.4.2.3.1.3.3	MARS and Federal Reporting <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI IMARS Resources,DDI Manager
279	1.4.2.3.1.3.4	Prepayment Detection <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI Manager,DDI Prepay Resources
280	1.4.2.3.1.4	Data User Interface Components		30 days	Tue 4/1/14	Mon 5/12/14				
281	1.4.2.3.1.4.1	DSS <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI Business Analytics Manager,DDI Interface Data Manager,DDI Manager
282	1.4.2.3.1.4.2	FADS/SURS <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI FADS Resources,DDI Manager
283	1.4.2.3.1.4.3	MARS and Federal Reporting <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI IMARS Resources,DDI Manager
284	1.4.2.3.1.4.4	Prepayment Detection <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI Manager,DDI Prepay Resources
285	1.4.2.3.1.5	Data Analytics & Data Visualization Components		30 days	Tue 4/1/14	Mon 5/12/14				
286	1.4.2.3.1.5.1	DSS <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI Business Analytics Manager,DDI Manager
287	1.4.2.3.1.5.2	FADS/SURS <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI FADS Resources,DDI Manager
288	1.4.2.3.1.5.3	MARS and Federal Reporting <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI IMARS Resources,DDI Manager
289	1.4.2.3.1.5.4	Prepayment Detection <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI Manager,DDI Prepay Resources
290	1.4.2.3.1.6	Federal & State Reporting Components		30 days	Tue 4/1/14	Mon 5/12/14				
291	1.4.2.3.1.6.1	DSS <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI Business Analytics Manager,DDI Manager
292	1.4.2.3.1.6.2	FADS/SURS <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI FADS Resources,DDI Manager
293	1.4.2.3.1.6.3	MARS and Federal Reporting <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI IMARS Resources,DDI Manager
294	1.4.2.3.1.6.4	Prepayment Detection <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 4/1/14	Mon 5/12/14	262		Optum	DDI Manager,DDI Prepay Resources
295	1.4.2.3.2	Data Conversion		45 days	Tue 4/1/14	Mon 6/2/14		313FF,314FF		
296	1.4.2.3.2.1	Data Conversion Plan		35 days	Tue 4/1/14	Mon 5/19/14				
297	1.4.2.3.2.1.1	Develop Data Conversion Plan		15 days	Tue 4/1/14	Mon 4/21/14	262	298	Optum	DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
298	1.4.2.3.2.1.2	<i>Review Data Conversion Plan</i>	X	10 days	Tue 4/22/14	Mon 5/5/14	297	299	DHS	DHS
299	1.4.2.3.2.1.3	Revise Data Conversion Plan		5 days	Tue 5/6/14	Mon 5/12/14	298	300	Optum	DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
300	1.4.2.3.2.1.4	<i>Review and Approve Data Conversion Plan</i>	X	5 days	Tue 5/13/14	Mon 5/19/14	299	302	DHS	DHS
301	1.4.2.3.2.2	Preliminary Data Conversion		10 days	Tue 5/20/14	Mon 6/2/14				
302	1.4.2.3.2.2.1	Preliminary Claims Data Conversion		5 days	Tue 5/20/14	Mon 5/26/14	300	303,304	Optum	DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
303	1.4.2.3.2.2.2	Preliminary Provider Data Conversion		3 days	Tue 5/27/14	Thu 5/29/14	302	305,306	Optum	DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
304	1.4.2.3.2.2.3	Preliminary Recipient Data Conversion		3 days	Tue 5/27/14	Thu 5/29/14	302		Optum	DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
305	1.4.2.3.2.2.4	Preliminary Reference Data Conversion		2 days	Fri 5/30/14	Mon 6/2/14	303		Optum	DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
306	1.4.2.3.2.2.5	Preliminary Other Data Conversion		2 days	Fri 5/30/14	Mon 6/2/14	303		Optum	DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
307	1.4.2.3.3	Conduct Staging Testing		25 days	Tue 4/1/14	Mon 5/5/14		313FF,314FF		
308	1.4.2.3.3.1	<detail tasks tbd based on TEMP>		15 days	Tue 4/1/14	Mon 4/21/14	262	309	Optum	DDI Manager,DDI Testing Manager
309	1.4.2.3.3.2	Deliver Staging Testing Results to State		0 days	Mon 4/21/14	Mon 4/21/14	308	310	Optum	DDI Manager,DDI Testing Manager
310	1.4.2.3.3.3	<i>Review and Approve Staging Testing Results</i>	X	10 days	Tue 4/22/14	Mon 5/5/14	309		DHS	DHS
311	1.4.2.3.4	Update Project Documentation		10 days	Tue 5/20/14	Mon 6/2/14		315		
312	1.4.2.3.4.1	Update Project Work Plan		10 days	Tue 5/20/14	Mon 6/2/14	F,295FF,307FF		Optum	DDI Manager,Project Manager
313	1.4.2.3.4.2	Update RTM		10 days	Tue 5/20/14	Mon 6/2/14	F,295FF,307FF		Optum	DDI Manager,Project Manager
314	1.4.2.3.4.3	Update Other Project Documentation (as necessary)		10 days	Tue 5/20/14	Mon 6/2/14	F,295FF,307FF		Optum	DDI Manager,Project Manager
315	1.4.2.3.5	MILESTONE: COMPLETION OF DEVELOPMENT (CONSTRUCTION & UNIT TESTING)		0 days	Mon 6/2/14	Mon 6/2/14		311,320,321,329		
316	1.4.2.4	SDLC STAGE 5 - INTEGRATION & SYSTEM TESTING		35 days	Tue 6/3/14	Mon 7/21/14				
317	1.4.2.4.1	Conduct Systems Testing		35 days	Tue 6/3/14	Mon 7/21/14		340		
318	1.4.2.4.1.1	DSS <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 6/3/14	Mon 7/14/14	315	F,333FF,321	Optum	DDI Testing Manager,DDI Manager
319	1.4.2.4.1.2	FADS/SURS <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 6/3/14	Mon 7/14/14	315	F,333FF,321	Optum	DDI FADS Resources,DDI Manager,DDI Testing Manager
320	1.4.2.4.1.3	MARS <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 6/3/14	Mon 7/14/14	315	F,333FF,321	Optum	DDI IMARS Resources,DDI Manager,DDI Testing Manager
321	1.4.2.4.1.4	Prepayment Detection <detail tasks tbd based on RTM and other Deliverables>		30 days	Tue 6/3/14	Mon 7/14/14	315	F,333FF,321	Optum	DDI Manager,DDI Prepay Resources,DDI Testing Manager
322	1.4.2.4.1.5	Deliver Systems Testing Results to State		0 days	Mon 7/14/14	Mon 7/14/14	18,319,320,321	323	Optum	DDI Manager,DDI Testing Manager

ID	WBS	Task Name	On Site?	Duration	Start	Finish	Predecessors	Successors	Resource Group	Key Resources
323	1.4.2.4.1.6	<i>Review and Approve Systems Testing Results</i>	X	5 days	Tue 7/15/14	Mon 7/21/14	322		DHS	DHS
324	1.4.2.4.2	Build Remaining System Environments		20 days	Tue 6/3/14	Mon 6/30/14		340		
325	1.4.2.4.2.1	Build End-to-End Regression Test Environment		20 days	Tue 6/3/14	Mon 6/30/14	315		Optum	DDI Manager,DDI Technical Solutions Manager
326	1.4.2.4.2.2	Build Release Packaging and Test Environment		20 days	Tue 6/3/14	Mon 6/30/14	315		Optum	DDI Manager,DDI Technical Solutions Manager
327	1.4.2.4.2.3	Build Preproduction (Release Staging) Environment		20 days	Tue 6/3/14	Mon 6/30/14	315		Optum	DDI Manager,DDI Technical Solutions Manager
328	1.4.2.4.2.4	Build Product Operations and Reporting Environment		20 days	Tue 6/3/14	Mon 6/30/14	315		Optum	DDI Manager,DDI Technical Solutions Manager
329	1.4.2.4.2.5	Build Model Office (Simulation and Modeling) Environment		20 days	Tue 6/3/14	Mon 6/30/14	315		Optum	DDI Manager,DDI Technical Solutions Manager
330	1.4.2.4.2.6	Build Disaster Recovery Environment		20 days	Tue 6/3/14	Mon 6/30/14	315		Optum	DDI Manager,DDI Technical Solutions Manager
331	1.4.2.4.3	Update Project Documentation		34 days	Tue 6/3/14	Fri 7/18/14		340		
332	1.4.2.4.3.1	Update Project Work Plan		10 days	Tue 7/1/14	Mon 7/14/14	FF,320FF,321FF		Optum	DDI Manager,Project Manager
333	1.4.2.4.3.2	Update RTM		10 days	Tue 7/1/14	Mon 7/14/14	FF,320FF,321FF		Optum	DDI Manager,Project Manager
334	1.4.2.4.3.3	Update Other Project Documentation (as necessary)		10 days	Tue 7/1/14	Mon 7/14/14	FF,320FF,321FF		Optum	DDI Manager,Project Manager
335	1.4.2.4.3.4	Training Master Plan		34 days	Tue 6/3/14	Fri 7/18/14				
336	1.4.2.4.3.4.1	Develop Training Master Plan		20 days	Tue 6/3/14	Mon 6/30/14	315	337	Optum	DDI Documentation/Training Manager,DDI Manager
337	1.4.2.4.3.4.2	<i>Review Training Master Plan</i>	X	10 days	Tue 7/1/14	Mon 7/14/14	336	338	DHS	DHS
338	1.4.2.4.3.4.3	Revise Training Master Plan		2 days	Tue 7/15/14	Wed 7/16/14	337	339	Optum	DDI Documentation/Training Manager,DDI Manager
339	1.4.2.4.3.4.4	<i>Review and Approve Revised Training Master Plan</i>	X	2 days	Thu 7/17/14	Fri 7/18/14	338		DHS	DHS
340	1.4.2.4.4	MILESTONE: COMPLETION OF INTEGRATION & SYSTEM TESTING		0 days	Mon 7/21/14	Mon 7/21/14	317,324,331	347,358,363		
341	1.4.2.5	SDLC STAGE 6: INSTALLATION & USER ACCEPTANCE (UAT)		32 days	Tue 7/22/14	Wed 9/3/14				
342	1.4.2.5.1	Conduct End-to-End Testing		24 days	Tue 7/22/14	Fri 8/22/14				
343	1.4.2.5.1.1	Conduct End-to-End Test		10 days	Tue 7/22/14	Mon 8/4/14				
344	1.4.2.5.1.1.1	DSS <detail tasks tbd based on RTM and other Deliverables>		10 days	Tue 7/22/14	Mon 8/4/14	340	348FF	Optum	DDI Testing Manager,DDI Manager
345	1.4.2.5.1.1.2	FADS/SURS <detail tasks tbd based on RTM and other Deliverables>		10 days	Tue 7/22/14	Mon 8/4/14	340	348FF	Optum	DDI FADS Resources,DDI Manager,DDI Testing Manager
346	1.4.2.5.1.1.3	MARS <detail tasks tbd based on RTM and other Deliverables>		10 days	Tue 7/22/14	Mon 8/4/14	340	348FF	Optum	DDI IMARS Resources,DDI Manager,DDI Testing Manager
347	1.4.2.5.1.1.4	Prepayment Detection <detail tasks tbd based on RTM and other Deliverables>		10 days	Tue 7/22/14	Mon 8/4/14	340	348FF	Optum	DDI Manager,DDI Prepay Resources,DDI Testing Manager
348	1.4.2.5.1.2	Deliver End-to-End Test Results to State		0 days	Mon 8/4/14	Mon 8/4/14	FF,346FF,347FF	349,354,355	Optum	DDI Manager,DDI Testing Manager
349	1.4.2.5.1.3	<i>Review End-to-End Test Results</i>	X	10 days	Tue 8/5/14	Mon 8/18/14	348	350	DHS	DHS
350	1.4.2.5.1.4	Revise End-to-End Test Results		2 days	Tue 8/19/14	Wed 8/20/14	349	351	Optum	DDI Manager,DDI Testing Manager
351	1.4.2.5.1.5	<i>Review and Approve End-to-End Testing Results</i>	X	2 days	Thu 8/21/14	Fri 8/22/14	350	352FF	DHS	DHS
352	1.4.2.5.2	Conduct UAT Training		15 days	Mon 8/4/14	Fri 8/22/14	351FF		Optum	DDI Documentation/Training Manager
353	1.4.2.5.3	Conduct User Acceptance Testing		22 days	Tue 8/5/14	Wed 9/3/14		375FF,380FI		
354	1.4.2.5.3.1	<i>Conduct UAT</i>		22 days	Tue 8/5/14	Wed 9/3/14	348	356	Optum,DHS	DDI Testing Manager,DDI Manager,DHS,DDI Business Analytics Manage
355	1.4.2.5.3.2	Optum facilitates UAT and makes revisions as required		22 days	Tue 8/5/14	Wed 9/3/14	348	356	Optum	DDI Manager,DDI Testing Manager
356	1.4.2.5.3.3	MILESTONE: STATE APPROVES UAT		0 days	Wed 9/3/14	Wed 9/3/14	354,355			
357	1.4.2.5.4	Performance Management Plan – Operations		24 days	Tue 7/22/14	Fri 8/22/14				
358	1.4.2.5.4.1	Develop Initial Performance Management Plan – Operations		10 days	Tue 7/22/14	Mon 8/4/14	340	359	Optum	DDI Manager,Project Manager,DDI Documentation/Training Manager
359	1.4.2.5.4.2	<i>Review Performance Management Plan – Operations</i>	X	10 days	Tue 8/5/14	Mon 8/18/14	358	360	DHS	DHS
360	1.4.2.5.4.3	Revise Performance Management Plan – Operations		2 days	Tue 8/19/14	Wed 8/20/14	359	361	Optum	DDI Manager,Project Manager,DDI Documentation/Training Manager
361	1.4.2.5.4.4	<i>Review and Approve Revised Performance Management Plan – Operations</i>	X	2 days	Thu 8/21/14	Fri 8/22/14	360		DHS	DHS
362	1.4.2.5.5	Operations Rollout Preparations Plan		24 days	Tue 7/22/14	Fri 8/22/14				
363	1.4.2.5.5.1	Develop Operations Readiness Review Plan		10 days	Tue 7/22/14	Mon 8/4/14	340	364	Optum	DDI Manager,Project Manager,DDI Documentation/Training Manager
364	1.4.2.5.5.2	<i>Review Operations Readiness Review Plan</i>	X	10 days	Tue 8/5/14	Mon 8/18/14	363	365	DHS	DHS
365	1.4.2.5.5.3	Revise Operations Readiness Review Plan		2 days	Tue 8/19/14	Wed 8/20/14	364	366	Optum	DDI Manager,Project Manager,DDI Documentation/Training Manager
366	1.4.2.5.5.4	<i>Review and Approve Operations Readiness Review Plan</i>	X	2 days	Thu 8/21/14	Fri 8/22/14	365		DHS	DHS
367	1.4.2.5.6	Update Project Documentation		24 days	Fri 8/1/14	Wed 9/3/14		381		
368	1.4.2.5.6.1	Update Project Work Plan		10 days	Thu 8/21/14	Wed 9/3/14	353FF		Optum	DDI Manager,Project Manager
369	1.4.2.5.6.2	Update RTM		10 days	Thu 8/21/14	Wed 9/3/14	353FF		Optum	DDI Manager,Project Manager
370	1.4.2.5.6.3	Update Other Project Documentation (as necessary)		10 days	Thu 8/21/14	Wed 9/3/14	353FF		Optum	DDI Manager,Project Manager
371	1.4.2.5.6.4	Systems Engineering Management Plan (SEMP) Engineering Requirements (all components and services)		24 days	Fri 8/1/14	Wed 9/3/14				
372	1.4.2.5.6.4.1	Develop Updated Phase 1 SEMP		10 days	Fri 8/1/14	Fri 8/15/14	373SF		Optum	ager,DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manage
373	1.4.2.5.6.4.2	<i>Review Updated Phase 1 SEMP</i>	X	10 days	Fri 8/15/14	Fri 8/29/14	374SF	372SF	DHS	DHS
374	1.4.2.5.6.4.3	Revise Updated Phase 1 SEMP		2 days	Fri 8/29/14	Tue 9/2/14	375SF	373SF	Optum	ager,DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manage
375	1.4.2.5.6.4.4	<i>Review and Approve Updated Phase 1 SEMP</i>	X	2 days	Tue 9/2/14	Wed 9/3/14	353FF	374SF	DHS	DHS
376	1.4.2.5.6.5	Test and Evaluation Management Plan (TEMP) (all components and services)		24 days	Fri 8/1/14	Wed 9/3/14				

ID	WBS	Task Name	On Site?	Duration	Start	Finish	Predecessors	Successors	Resource Group	Key Resources
377	1.4.2.5.6.5.1	Develop Updated Phase 1 TEMP		10 days	Fri 8/1/14	Fri 8/15/14	378SF		Optum	Project Manager,DDI Manager,DDI Testing Manager
378	1.4.2.5.6.5.2	<i>Review Updated Phase 1 TEMP</i>	X	10 days	Fri 8/15/14	Fri 8/29/14	379SF	377SF	DHS	DHS
379	1.4.2.5.6.5.3	Revise Updated Phase 1 TEMP		2 days	Fri 8/29/14	Tue 9/2/14	380SF	378SF	Optum	Project Manager,DDI Manager,DDI Testing Manager
380	1.4.2.5.6.5.4	<i>Review and Approve Revised Updated Phase 1 TEMP</i>	X	2 days	Tue 9/2/14	Wed 9/3/14	353FF	379SF	DHS	DHS
381	1.4.2.5.7	MILESTONE: COMPLETION OF INSTALLATION AND USER ACCEPTANCE (UAT)		0 days	Wed 9/3/14	Wed 9/3/14	367	382		
382	1.4.6	MILESTONE: COMPLETION OF PHASE II – INFRASTRUCTURE AND DEVELOPMENT, CONFIGURATION AND IMPLEMENTATION		0 days	Wed 9/3/14	Wed 9/3/14	381	398,399,402		
383	1.5	PHASE III – OPERATIONS READINESS, PRODUCTION CUTOVER & FACILITIES ROLLOUT		124 days	Thu 9/4/14	Tue 2/24/15				
384	1.5.1	Operations Readiness		34 days	Thu 9/4/14	Tue 10/21/14				
385	1.5.1.1	Implementation Master Plan		30 days	Thu 9/4/14	Wed 10/15/14				
386	1.5.1.1.1	Training Plan – Final (including development of Training material)		10 days	Thu 9/4/14	Wed 9/17/14	382	392	Optum	DDI Documentation/Training Manager,DDI Manager
387	1.5.1.1.2	Data Conversion Plan – Final		10 days	Thu 9/4/14	Wed 9/17/14	382	392	Optum	DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
388	1.5.1.1.3	End-to-End Integration Plan – Final		10 days	Thu 9/4/14	Wed 9/17/14	382	392	Optum	DDI Interface Data Manager,DDI Manager
389	1.5.1.1.4	User Acceptance Test Plan – Final		10 days	Thu 9/4/14	Wed 9/17/14	382	392	Optum	DDI Manager,DDI Testing Manager
390	1.5.1.1.5	Performance Management Plan (Operations) - Final		10 days	Thu 9/4/14	Wed 9/17/14	382	392	Optum	DDI Documentation/Training Manager,DDI Manager
391	1.5.1.1.6	Operations Rollout Preparations Plan - Final		10 days	Thu 9/4/14	Wed 9/17/14	382	392	Optum	DDI Documentation/Training Manager,DDI Manager,Project Manager
392	1.5.1.1.7	Compile Implementation Master Plan Components and Provide Consolidated Implementation Master Plan to State		0 days	Wed 9/17/14	Wed 9/17/14	87,388,389,390	393	Optum	DDI Manager,Project Manager
393	1.5.1.1.8	<i>Review Implementation Master Plan Documents</i>	X	10 days	Thu 9/18/14	Wed 10/1/14	392	394	DHS	DHS
394	1.5.1.1.9	Revise Implementation Master Plan Documents		5 days	Thu 10/2/14	Wed 10/8/14	393	395	Optum	DDI Manager,Project Manager
395	1.5.1.1.10	<i>Review and Approve Revised Implementation Master Plan Documents</i>	X	5 days	Thu 10/9/14	Wed 10/15/14	394	396	DHS	DHS
396	1.5.1.1.11	Implementation Master Plan Complete		0 days	Wed 10/15/14	Wed 10/15/14	395			
397	1.5.1.2	Conduct Final Acceptance Testing (FAT)		22 days	Thu 9/4/14	Fri 10/3/14				
398	1.5.1.2.1	<i>Conduct FAT</i>		22 days	Thu 9/4/14	Fri 10/3/14	382	400	Optum,DHS	DDI Manager,DHS,DDI Testing Manager,Project Manager
399	1.5.1.2.2	Optum facilitates FAT and makes revisions as required		22 days	Thu 9/4/14	Fri 10/3/14	382	400	Optum	DDI Testing Manager
400	1.5.1.2.3	MILESTONE: STATE APPROVES FAT		0 days	Fri 10/3/14	Fri 10/3/14	398,399			
401	1.5.1.3	Operations Readiness Review Plan (Detailed)		24 days	Thu 9/4/14	Tue 10/7/14				
402	1.5.1.3.1	Develop Operations Readiness Review Plan		10 days	Thu 9/4/14	Wed 9/17/14	382	403	Optum	DDI Documentation/Training Manager,DDI Manager,Project Manager
403	1.5.1.3.2	<i>Review Operations Readiness Review Plan</i>	X	10 days	Thu 9/18/14	Wed 10/1/14	402	404	DHS	DHS
404	1.5.1.3.3	Revise Operations Readiness Review Plan		2 days	Thu 10/2/14	Fri 10/3/14	403	405	Optum	DDI Documentation/Training Manager,DDI Manager,Project Manager
405	1.5.1.3.4	<i>Review and Approve Operations Readiness Review Plan</i>	X	2 days	Mon 10/6/14	Tue 10/7/14	404	407,408,409	DHS	DHS
406	1.5.1.4	Operations Readiness - Final		24 days	Thu 9/18/14	Tue 10/21/14				
407	1.5.1.4.1	Perform Final Data Conversion		8 days	Wed 10/8/14	Fri 10/17/14	405	410	Optum	DDI Interface Data Manager,DDI Manager,Project Manager
408	1.5.1.4.2	Perform Final Training and Knowledge Transfer		8 days	Wed 10/8/14	Fri 10/17/14	405	410	Optum	DDI Documentation/Training Manager,DDI Manager,Project Manager
409	1.5.1.4.3	Perform Final Evaluation of Facility Readiness		8 days	Wed 10/8/14	Fri 10/17/14	405	410	Optum	DDI Manager,DDI Technical Solutions Manager,Project Manager
410	1.5.1.4.4	Readiness Certification: Deliver Operational Readiness Report		2 days	Mon 10/20/14	Tue 10/21/14	407,408,409	24FF,427,42	Optum	Optum
411	1.5.1.4.5	Update Project Documentation		24 days	Thu 9/18/14	Tue 10/21/14				
412	1.5.1.4.5.1	Update Project Work Plan		10 days	Wed 10/8/14	Tue 10/21/14	410FF		Optum	DDI Manager,Project Manager
413	1.5.1.4.5.2	Update RTM		10 days	Wed 10/8/14	Tue 10/21/14	410FF		Optum	DDI Manager,Project Manager
414	1.5.1.4.5.3	Update Other Project Documentation (as necessary)		10 days	Wed 10/8/14	Tue 10/21/14	410FF		Optum	DDI Manager,Project Manager
415	1.5.1.4.5.4	Systems Engineering Management Plan (SEMP) Engineering Requirements (all components and services)		24 days	Thu 9/18/14	Tue 10/21/14				
416	1.5.1.4.5.4.1	Develop Updated Phase 1 SEMP		10 days	Thu 9/18/14	Thu 10/2/14	417SF		Optum	ager,DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manage
417	1.5.1.4.5.4.2	<i>Review Updated Phase 1 SEMP</i>	X	10 days	Thu 10/2/14	Thu 10/16/14	418SF	416SF	DHS	DHS
418	1.5.1.4.5.4.3	Revise Updated Phase 1 SEMP		2 days	Thu 10/16/14	Mon 10/20/14	419SF	417SF	Optum	ager,DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manage
419	1.5.1.4.5.4.4	<i>Review and Approve Updated Phase 1 SEMP</i>	X	2 days	Mon 10/20/14	Tue 10/21/14	410FF	418SF	DHS	DHS
420	1.5.1.4.5.5	Test and Evaluation Management Plan (TEMP) (all components and services)		24 days	Thu 9/18/14	Tue 10/21/14				
421	1.5.1.4.5.5.1	Develop Updated Phase 1 TEMP		10 days	Thu 9/18/14	Thu 10/2/14	422SF		Optum	Project Manager,DDI Manager,DDI Testing Manager
422	1.5.1.4.5.5.2	<i>Review Updated Phase 1 TEMP</i>	X	10 days	Thu 10/2/14	Thu 10/16/14	423SF	421SF	DHS	DHS
423	1.5.1.4.5.5.3	Revise Updated Phase 1 TEMP		2 days	Thu 10/16/14	Mon 10/20/14	424SF	422SF	Optum	Project Manager,DDI Manager,DDI Testing Manager
424	1.5.1.4.5.5.4	<i>Review and Approve Revised Updated Phase 1 TEMP</i>	X	2 days	Mon 10/20/14	Tue 10/21/14	410FF	423SF	DHS	DHS
425	1.5.2	Production Cutover and Facility Rollout		6 days	Wed 10/22/14	Wed 10/29/14				
426	1.5.2.1	Implementation Events		6 days	Wed 10/22/14	Wed 10/29/14		431,432		
427	1.5.2.1.1	Facility, Function, or Work Group Cutovers		6 days	Wed 10/22/14	Wed 10/29/14	410	429	Optum	ge Data Manager,DDI Manager,DDI Technical Solutions Manager,Project Manage
428	1.5.2.1.2	Facility, Function, or Work Group (Implementation) Final Reports		6 days	Wed 10/22/14	Wed 10/29/14	410	429	Optum	ge Data Manager,DDI Manager,DDI Technical Solutions Manager,Project Manage



ID	WBS	Task Name	On Site?	Duration	Start	Finish	Predecessors	Successors	Resource Group	Key Resources
429	1.5.3	MILESTONE: PRODUCTION CUTOVER COMPLETE		0 days	Wed 10/29/14	Wed 10/29/14	427,428,450,452,454			
430	1.5.4	Post-Implementation Events and Verification Period		60 days	Thu 10/30/14	Wed 1/21/15				
431	1.5.4.1	Facility, Function, or Work Group Evaluations		60 days	Thu 10/30/14	Wed 1/21/15	426	433FF	Optum	pe Data Manager,DDI Manager,DDI Technical Solutions Manager,Project Manager
432	1.5.4.2	Facility, Function, or Work Group Remediation Periods		60 days	Thu 10/30/14	Wed 1/21/15	426	433FF	Optum	pe Data Manager,DDI Manager,DDI Technical Solutions Manager,Project Manager
433	1.5.4.3	Post-Implementation Summary Report		10 days	Thu 1/8/15	Wed 1/21/15	431FF,432FF	435	Optum	pe Data Manager,DDI Manager,DDI Technical Solutions Manager,Project Manager
434	1.5.5	Certification of Compliance (State Final Acceptance)		24 days	Thu 1/22/15	Tue 2/24/15				
435	1.5.5.1	Develop Certification of Compliance		10 days	Thu 1/22/15	Wed 2/4/15	433	436	Optum	DDI Manager,Project Manager
436	1.5.5.2	<i>Review Certification of Compliance</i>	X	10 days	Thu 2/5/15	Wed 2/18/15	435	437	DHS	DHS
437	1.5.5.3	Revise Certification of Compliance		2 days	Thu 2/19/15	Fri 2/20/15	436	438	Optum	DDI Manager,Project Manager
438	1.5.5.4	<i>Review and Approve Certification of Compliance</i>	X	2 days	Mon 2/23/15	Tue 2/24/15	437	439	DHS	DHS
439	1.5.6	MILESTONE: COMPLETION OF PHASE III – OPERATIONS READINESS, PRODUCTION CUTOVER & FACILITY ROLLOUT		0 days	Tue 2/24/15	Tue 2/24/15	438			
440	1.6	PHASE IV - INITIAL OPERATIONS		1567 days	Thu 10/30/14	Fri 10/30/20				
441	1.6.1	Warranty Period		825 days	Thu 10/30/14	Wed 12/27/17	429		Optum	Optum
442	1.6.2	Operations Support: SFY Remainder (Monthly Invoices)		1567 days	Thu 10/30/14	Fri 10/30/20				
443	1.6.2.1	Conduct Weekly Operational Meetings		1567 days	Thu 10/30/14	Fri 10/30/20				
444	1.6.2.1.1	<detail recurring tasks as defined in RFP and Proposal>		1567 days	Thu 10/30/14	Fri 10/30/20	429		Optum	on/Training Manager,Ops Manager,Ops Technical Support Lead,Project Manager
445	1.6.2.2	Submit Status Reports (Weekly, Monthly, Quarterly, Ad Hoc)		1567 days	Thu 10/30/14	Fri 10/30/20				
446	1.6.2.2.1	<detail recurring tasks as defined in RFP and Proposal>		1567 days	Thu 10/30/14	Fri 10/30/20	429		Optum	on/Training Manager,Ops Manager,Ops Technical Support Lead,Project Manager
447	1.6.2.3	Provide Maintenance and Operations Support Services		1567 days	Thu 10/30/14	Fri 10/30/20				
448	1.6.2.3.1	<detail tasks as defined in RFP and Proposal>		1567 days	Thu 10/30/14	Fri 10/30/20	429		Optum	on/Training Manager,Ops Manager,Ops Technical Support Lead,Project Manager
449	1.6.2.4	Provide Modifications and Enhancements Services		1567 days	Thu 10/30/14	Fri 10/30/20				
450	1.6.2.4.1	<detail tasks as defined in RFP and Proposal>		1567 days	Thu 10/30/14	Fri 10/30/20	429		Optum	on/Training Manager,Ops Manager,Ops Technical Support Lead,Project Manager
451	1.6.2.5	Provide Performance Analysis Services		1567 days	Thu 10/30/14	Fri 10/30/20				
452	1.6.2.5.1	<detail tasks as defined in RFP and Proposal>		1567 days	Thu 10/30/14	Fri 10/30/20	429		Optum	on/Training Manager,Ops Manager,Ops Technical Support Lead,Project Manager
453	1.6.2.6	Provides Planning Analysis (Infrastructure) Services		1567 days	Thu 10/30/14	Fri 10/30/20				
454	1.6.2.6.1	<detail tasks as defined in RFP and Proposal>		1567 days	Thu 10/30/14	Fri 10/30/20	429		Optum	on/Training Manager,Ops Manager,Ops Technical Support Lead,Project Manager
455	1.7	PHASE V – OPERATIONS AND FEDERAL CERTIFICATION (AND CORE SYSTEMS INTEGRATION)		527 days?	Thu 10/29/15	Fri 11/3/17				
456		DDI STAGE 2 - CORE SYSTEM INTEGRATION		266 days	Thu 10/29/15	Thu 11/3/16				
457		SDLC STAGE 1 - PLANNING (See 1.3.1)		20 days	Thu 10/29/15	Wed 11/25/15				
458		<detail tasks as defined above>		20 days	Thu 10/29/15	Wed 11/25/15		460	Optum	ager,DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
459		SDLC STAGE 2 - REQUIREMENTS VALIDATION (SEE 1.4.2.1)		30 days	Thu 11/26/15	Wed 1/6/16				
460		<detail tasks as defined above>		30 days	Thu 11/26/15	Wed 1/6/16	458	462	Optum	ager,DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
461		SDLC STAGE 3 - SYSTEM DESIGN (SEE 1.4.2.2)		30 days	Thu 1/7/16	Wed 2/17/16				
462		<detail tasks as defined above>		30 days	Thu 1/7/16	Wed 2/17/16	460	464	Optum	ager,DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
463		SDLC STAGE 4 - DEVELOPMENT (CONSTRUCTION & UNIT TESTING) (SEE 1.4.2.3)		96 days	Thu 2/18/16	Thu 6/30/16				
464		<detail tasks as defined above>		96 days	Thu 2/18/16	Thu 6/30/16	462	466	Optum	ager,DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
465	5	SDLC STAGE 5 - INTEGRATION & SYSTEM TESTING (SEE 1.4.2.4)		60 days	Fri 7/1/16	Thu 9/22/16				
466		<detail tasks as defined above>		60 days	Fri 7/1/16	Thu 9/22/16	464	468	Optum	ager,DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
467		SDLC STAGE 6: INSTALLATION & USER ACCEPTANCE (UAT) (SEE 1.4.2.5)		30 days	Fri 9/23/16	Thu 11/3/16				
468		<detail tasks as defined above>		30 days	Fri 9/23/16	Thu 11/3/16	466	469	Optum	ager,DDI Interface Data Manager,DDI Manager,DDI Technical Solutions Manager
469		MILESTONE: CORE SYSTEMS INTEGRATION COMPLETE		0 days	Thu 11/3/16	Thu 11/3/16	468	471		
470	1.7.2	Federal Certification		261 days	Fri 11/4/16	Fri 11/3/17				
471	1.7.2.1	Develop Certification Readiness Plan and Review Package		60 days	Fri 11/4/16	Thu 1/26/17	469	472	Optum	Ops Manager,Project Manager
472	1.7.2.2	Develop Certification Activities Report		60 days	Fri 1/27/17	Thu 4/20/17	471	473	Optum	Ops Manager,Project Manager
473	1.7.2.3	Prepare and Deliver Certification Readiness Plan and Review Package to State		116 days	Fri 4/21/17	Fri 9/29/17	472	474	Optum	Ops Manager,Project Manager
474	1.7.2.4	<i>Review Certification Review Package</i>	X	10 days	Mon 10/2/17	Fri 10/13/17	473	475	DHS	DHS
475	1.7.2.5	Revise Certification Review Package		5 days	Mon 10/16/17	Fri 10/20/17	474	476	Optum	Ops Manager,Project Manager
476	1.7.2.6	<i>Review and Approve Certification Review Package by State</i>	X	5 days	Mon 10/23/17	Fri 10/27/17	475	477	DHS	DHS
477	1.7.2.7	<i>Review and Approve Certification Review Package by CMS</i>	X	5 days	Mon 10/30/17	Fri 11/3/17	476	478		
478	1.7.2.8	MILESTONE: FEDERAL CERTIFICATION APPROVED BY CMS		0 days	Fri 11/3/17	Fri 11/3/17	477	479		
479	1.7.3	MILESTONE: COMPLETION OF PHASE VI – OPERATIONS AND FEDERAL CERTIFICATION (AND CORE SYSTEMS INTEGRATION)		0 days?	Fri 11/3/17	Fri 11/3/17	478			
480	1.8	PHASE VI - TURNOVER AND CONTRACT CLOSEOUT		133 days	Mon 4/27/20	Thu 10/29/20		495		
481	1.8.1	Turnover		133 days	Mon 4/27/20	Thu 10/29/20				

ID	WBS	Task Name	On Site?	Duration	Start	Finish	Predecessors	Successors	Resource Group	Key Resources
482	1.8.1.1	Turnover Plan - Detailed		44 days	Mon 4/27/20	Fri 6/26/20				
483	1.8.1.1.1	Develop Operations Readiness Review Plan		30 days	Mon 4/27/20	Mon 6/8/20	484SF		Optum	Ops Manager,Project Manager
484	1.8.1.1.2	<i>Review Operations Readiness Review Plan</i>	X	10 days	Mon 6/8/20	Mon 6/22/20	485SF	483SF	DHS	DHS
485	1.8.1.1.3	Revise Operations Readiness Review Plan		2 days	Mon 6/22/20	Wed 6/24/20	486SF	484SF	Optum	Ops Manager,Project Manager
486	1.8.1.1.4	<i>Review and Approve Operations Readiness Review Plan</i>	X	2 days	Wed 6/24/20	Fri 6/26/20	487SF	485SF	DHS	DHS
487	1.8.1.2	Turnover Progress Reports		89 days	Fri 6/26/20	Thu 10/29/20	494FF	486SF	Optum	Ops Manager,Project Manager
488	1.8.2	Contract Closeout		30 days	Thu 9/17/20	Thu 10/29/20				
489	1.8.2.1	Complete Office of State Procurement Requirements		30 days	Thu 9/17/20	Thu 10/29/20	494FF		Optum	Ops Manager,Project Manager
490	1.8.3	Turnover and Contract Closeout		65 days	Thu 7/30/20	Thu 10/29/20				
491	1.8.3.1	Provide Phase-In Training		65 days	Thu 7/30/20	Thu 10/29/20	494FF		Optum	Ops Manager,Project Manager,Ops Documentation/Training Manager
492	1.8.3.2	Turnover Archived Materials		30 days	Thu 9/17/20	Thu 10/29/20	494FF		Optum	Ops Manager,Project Manager
493	1.8.3.3	Certification of Completion – Turnover Status Report		30 days	Thu 9/17/20	Thu 10/29/20	494FF		Optum	Ops Manager,Project Manager
494	1.8.4	MILESTONE: COMPLETION OF PHASE VI - TURNOVER AND CONTRACT CLOSEOUT		0 days	Thu 10/29/20	Thu 10/29/20		487FF,492FI		
495	1.9	Provide Post Turnover Support as needed		66 days	Thu 10/29/20	Thu 1/28/21	480		Optum	Project Manager

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T6.1	Development and Unit Test	Y	A	3/19/2013	Attachment G1, Section 2.3.1.3	The Development and Unit Test Environment will be hosted on the Hewlett-Packard DL 580 or equivalent test server. A separate Oracle data warehouse database will be hosted on this server to support development and testing of the data warehouse tables, reporting artifacts, ETL, and data conversion processes. Separate databases will be created within Oracle test server to host data stores in development.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
T6.2	System Test and Integration Test	Y	A	3/19/2013	Attachment G1, Section 2.3.1.3	For Phases I through III of the AME DSS project, the System Test and Integration Test environments will be the same as the Production Reporting Environment. System and integration testing are best conducted on the very same environment as production to demonstrate that the solution and environment pass the Operational Readiness Review requirement of the project. Furthermore, pre-operational performance testing will be conducted using the Production Reporting Environment. Before the production operation begins in Phase IV, the System Test and Integration Test environments will be established and moved from the Production Reporting Environment and hardware to a separate Hewlett-Packard DL 580 or equivalent test server. The System and Integration Test Environment will be where AME DSS processes are tested after Development and Unit Test activities have been completed. This environment will be used to test full system operations and integration for modifications to artifacts such as data conversion scripts, reporting and ETL schedules and scripts, and other operations activities.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T6.3	End-to-End Regression Test	Y	A	3/19/2013	Attachment G1, Section 2.3.1.3	Once modifications and enhancements have each been successfully tested in the System Test and Integration Environment, they will be promoted to the End-to-End Regression Test Environment. The End-to-End Regression Test Environment will be hosted on the Hewlett-Packard DL 580 or equivalent test server. This computing environment will be used to support initial operational testing of the data warehouse tables, reporting artifacts, ETL, and data conversion processes. This computing environment is where testing of all components, not just those that have been modified, will be conducted. This will prevent introduction of errors or unforeseen impacts the system as part of a modification or enhancement.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
T6.4	Release Packaging and Test (User Acceptance)	Y	A	3/19/2013	Attachment G1, Section 2.3.1.3	The Release Packaging and Test Environment will be hosted on the Hewlett-Packard DL 580 or equivalent test server. The components to be delivered in a release are packaged in this environment. The COTS-based approach we propose makes the release delivery and installation process straightforward because no software is installed on end-user computers. Only those components that were completed and accepted during the previous end-to-end regression test will be promoted to the Release Packaging and Test Environment.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T6.5	Preproduction (Release Staging)	Y	A	3/19/2013	Attachment G1, Section 2.3.1.3	<p>The Preproduction (Release Staging) Environment will be used to test the process of promoting a release into the Production Reporting Environment. It will be designed to potentially maintain multiple releases that have completed all other testing phases and awaiting final acceptance testing.</p> <p>To more closely replicate production, this computing environment will be hosted on the Hewlett-Packard DL 580 or equivalent production server using a separate instance from the Production Reporting Environment.</p>	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
T6.6	Production Operations (Final Acceptance)	Y	A	3/19/2013	Attachment G1, Section 2.3.1.3	<p>The Product Operation (Final Acceptance) Environment will be used by Optum and the State to conduct final UAT to review and verify all AME DSS components prior to implementing them in the Production Reporting Environment.</p> <p>The Product Operations Environment will be hosted on the Hewlett-Packard DL 580 or equivalent production server using a separate instance from the Production Reporting environment.</p>	Operations Readiness Test (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T6.7	Production Reporting	Y	A	3/19/2013	Attachment G1, Section 2.3.1.3	<p>The Production Reporting Environment will host the operational AME DSS that we will maintain and operate and that State end users and designated vendors will employ. Authorized State and vendor AME DSS end users of the State's network will access the solution in one of two ways:</p> <ul style="list-style-type: none"> • A standard, executive, report/business analyst or power user will access the Cognos BI ad hoc querying/reporting, standard reports, and the MARS Federal and State reporting solution by authenticating through to the Cognos BI Report Server(s); and • Power users wishing to access the central data warehouse will access directly using ODBC-compliant end user tools. <p>Data warehouse data suppliers may provide source data extracts from the MMIS to the secure File Transfer Protocol (FTP) server located in the Production Reporting Environment. Conversely, Optum may access source data from the secure FTP server to get the source data for conversion processing into the AME DSS environment. The method of supplying data will be refined during the Requirements Validation activity and approved by the State.</p> <p>The Production Reporting Environment will also contain an ETL server on which the Informatica ETL and data conversion functions will be performed. Input source data transferred to the secure FTP server will be accessed from the ETL server for data conversion and migration processing. This same server will also host the following:</p> <ul style="list-style-type: none"> • FADS, which will perform SURS, fraud and abuse detection, and Program Integrity functions, • Clinical grouper software (Episode Treatment Grouper, Episode Risk Grouper, and EBM Connect), which will perform episodes of care grouping and clinical measure evaluation processing on a periodic basis, proposed 	Operations Readiness Test (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
						<p>evaluation processing on a periodic basis, proposed, initially, to be scheduled quarterly.</p> <p>Data will then be loaded into the core data warehouse Oracle 11g platform. The Oracle 11g data warehouse server will host all business data at an atomic, detailed level. It will also be the host platform for summarized roll-ups, derived data (e.g., data derived from the clinical groupers), and other subset data marts (e.g., that required for the MARS Federal and State Reporting module). Data will be extracted from the Oracle data warehouse platform back to the ETL server for clinical grouper data processing. Once enhanced data is derived by the grouper engines, the results will be loaded back into the data warehouse for analytic use.</p> <p>With the exception of data suppliers and certain designated power users, most end users will access the AME DSS through one of the two Cognos BI Gateway servers. These servers provide access to the Web-based solution portal, the ad hoc reporting environment, the MARS Federal and State reporting module as well as other standard reports developed and deployed throughout the life of the AME DSS project.</p> <p>Two additional and separate hosting servers are part of the Production Environment. First, a metadata and report content store server is included in the environment. This server will host a Microsoft SQL Server database which will be a central repository for the ETL metadata, and will also provide a repository of Cognos reporting artifacts.</p> <p>Second, an administrative server will host other miscellaneous software and processing such as the BMC Footprints Configuration Manager and Incident and Problem Manager software products. This administrative server will also host a Microsoft SharePoint site for project documentation.</p> <p>The Production Reporting environment hardware/software will be partitioned to include functions</p>	

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
						<p>specific to other Computing Environments as well. Such environments include those for development, data conversion, testing, and training.</p> <p>While some user training will be conducted on and against the Production Reporting system itself, the majority of training for AME DSS users will be conducted on a subset of data and components within the Product Training Environment to provide proper training and use of all AME DSS functionality. The Product Training Environment will be hosted on the Hewlett-Packard DL 580 or equivalent test server.</p>	

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T6.8	Product Training	Y	A	3/19/2013	Attachment G1, Section 2.3.1.3	The Product Training Environment will be hosted on the Hewlett-Packard DL 580 or equivalent test server. It is within this partitioned environment where end users will be trained on the functionality of the entire AME DSS solution. While some user training will be conducted on and against the Production Reporting computing environment, other training will be conducted on a subset of data and components to provide proper training and use of all functionality. This training environment will have a subset of State data stored in separate databases and will be created within Oracle to host training data stores. Likewise, the Cognos BI training environment (framework and packages) may also be scaled back in the training environment from what is in Production Reporting to provide a more focused or specified training experience. Such data and training components will be refreshed periodically and as required for continuous improvement to our supplied training programs and classes.	Operations Readiness Test (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
T6.9	Model Office (Simulation and Modeling)	Y	A	3/19/2013	Attachment G1, Section 2.3.1.3	The Model Office (Simulation and Modeling) Environment will be a working prototype of operations that reflects the Production Reporting environment as closely as practically possible. This environment will allow us to validate the usefulness and effectiveness of a proposed solution within an environment in the same manner as the System and Integration Testing Environment. The Model Office (Simulation and Modeling) Environment will be hosted on the Hewlett-Packard DL580 or equivalent test server.	Operations Readiness Test (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T7.1	DDI Conference Room: 1. One large conference room for workgroup meetings for 25 people with the following: a. Projection system b. Network connectivity with a minimum of five (5) network connections and the capability to expand to 15. c. Conference phone line and conference phone speaker system d. Table(s) and chairs for 25 people e. Video conferencing system 2. Guest areas seating and mobile workspace amenities.	Y	A	October 29th, 2013	Attachment G1, Section 2.3.2	Our sizing estimates for the DDI Project Office included space and amenities for a large, primary conference room. This conference room has been sized to comfortably accommodate at least 25 people and includes a conference table, comfortable seating, white boards, and audio visual equipment to support electronic presentations. Specifically, the room will be equipped with the following: <ul style="list-style-type: none"> • Ceiling-mounted projection system • Conference phone speaker system • Adequate network connections to support up to 15 individual connections 	Project Monitoring
T7.2	DDI Administration: 1. Seating capacity for one Administrative person (1 FTE). 2. Administrative Office Hours (est. 7:30 AM to 5:00 PM)	Y	A	October 29th, 2013	Attachment G1, Section 2.3.2	Our sizing estimates for the DDI Project Office include adequate, comfortable work stations for all Optum, State, PMO and IV&V staff related to the AME DSS Project, including one for an administrative role. We agree to establish administrative office hours between 7:30 a.m. and 5:00 p.m. CT, Monday through Friday.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T7.3	<p>DDI Training Room:</p> <ol style="list-style-type: none"> 1. Seating capacity of 25 students. 2. Workspace capacity for one (1) training instructor. 3. Use of the Data Center Computing Environment Training applications (no desktop simulation). 4. One (1) desktop computer per student seat and instructor seat. 5. Training enrollments available for four (4) weeks after the System Implementation Date (Stage 1) defined herein as a Critical Date. 6. Training room retirement available five (5) weeks after the System Implementation Date (Stage 1) defined herein as a Critical Date. 	Y	A	October 29th, 2013	Attachment G1, Section 2.3.2	<p>Given the importance of training to the overall success in acceptance and use of the new AME DSS, we included a separate training room in the design of our DDI Project Office. The training room is designed to be flexible to support classroom configurations most appropriate for the training being delivered. Our plan includes making the training room available to support enrollments available for four weeks after the System Implementation Date (Stage 1). The training room has been designed to comfortably accommodate up to 25 students and includes workspace for one training instructor. Additional elements of the training room include:</p> <ul style="list-style-type: none"> • Individual desktop computers for up to 25 students • Individual desktop computer for the training instructor • Work surfaces to support individual desktop computers and adequate room for note taking • Comfortable seating for up to 25 students and 1 training instructor • Ceiling-mounted projection system to support electronic presentation of training materials • Multiple white boards <p>Optum will use the training environment hosted in our data center, described in our response to Identifier T6.8, to facilitate training activities. We acknowledge that the training room may be retired for another purpose following implementation of the system, and we agree to maintain the training room for at least five weeks following the System Implementation Date.</p>	N/A

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T8.1	Secure collaboration tools access and interoperability with other State-authorized Project Stakeholders' tools (as warranted).	Y	A	3/19/2013	Attachment G1, Section 2.3.2	During DDI of the AME DSS project, Optum will utilize a document collaboration tool to effectively manage all project artifacts. Our standard collaboration tool, Microsoft SharePoint will be managed on secure servers and access will be provided to State and IV&V staff as authorized by the State.	Project Monitoring
T8.2	Bridge the infrastructure, communications, tools and technology needs of the Contractor's off-site or remote facilities that are supporting the Project.	Y	A	October 29th, 2013	Attachment G1, Section 2.3.2	Our corporate IT group supports all desktop business applications made available to Optum employees. This includes development and management of software images deployed to all employee desktop and laptop computers. Standard applications include email, Microsoft Office tools, anti-virus tools and access to the corporate Intranet which provides authenticated access to time reporting, accounting systems, HR systems and other corporate applications. The wide area data circuits necessary to connect the AME DSS Project Office to the corporate network have been included in the design of the facility. This network connectivity provides a secure, private connection to all corporate managed back-office applications and all other Optum office locations that provide support to the AME DSS Project.	Project Monitoring and Operations Readiness Test (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T8.3	Provide 24 x 7 secured access or as mutually agreed with the State.	Y	A	October 29th, 2013	Attachment G1, Section 2.3.2	As discussed in the response to Identifier T7.2, we will support administrative office hours between the hours of 7:30 a.m. to 5:00 p.m. CT Monday through Friday. In addition, all external entrances to our DDI Project Office will be equipped with proximity badge readers. Those staff authorized by the State to access the facility outside of the administrative office hours will be provided access through their electronic badges. Using our security management system, authorized Optum staff can define levels of access allowed for each Optum, State, PMO and IV&V employee. Access levels can be limited to specific areas of the facility and to specific time intervals. These intervals can be set to administrative office hours only, specific time intervals during the work week, specific times during weekends, or 24x7, for example.	Project Monitoring
T8.4	Comply with State-owned asset security and privacy safeguards, and ensure Project materials, work products, and deliverables are secured, and that confidentiality is maintained at all times.	Y	A	October 29th, 2013	Attachment G1, Section 2.3.2	We will comply with State-owned asset security and privacy safeguards as directed by the State. As mentioned previously in our proposal, we have strict policies related to safeguarding the confidentiality of the data and materials entrusted to us. Our corporate security policy includes physical and personnel controls related to maintaining the confidentiality of data and work materials. These controls include: <ul style="list-style-type: none"> • Physical controls for access to sensitive areas • Employee access to sensitive areas is granted based on assigned duties • Visitor control processes to prevent unescorted visitor access • Secure storage and destruction of sensitive materials • Mandatory annual security-related training for all employees 	Project Monitoring and systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T8.5	Comply with all federal regulation and State statutes for business services. Comply with the Technical Infrastructure Plan.	Y	A	3/19/2013	Attachment G1, Section 2.3.2	Optum acknowledges and will comply with this requirement.	Project Monitoring
T8.6	Prohibit performance of the Contract's services outside the continental United States, Alaska, or Hawaii.	Y	A	3/19/2013	Attachment G1, Section 2.3.2	We confirm that all work associated with the AME DSS Project will be performed within the continental United States.	N/A
T8.7	Define additional DDI Project Office requirements necessary to perform under the obligations of the Contract.	Y	A	October 29th, 2013	Attachment G1, Section 2.3.2	In addition to the DDI Project Office requirements defined in the RFP, Optum will include features in our facility that are considered components of our corporate office standards. These features are meant to enhance the comfort and productivity of the AME DSS Project staff. Additional features include: <ul style="list-style-type: none"> • Lockable storage at each workstation • Additional desk lighting • "Huddle" rooms that support private collaboration for up to four people; Huddle rooms are equipped with a table, chairs, phone, white board, network connections and monitor • Secure document storage room • Common print and document management area • Secure room for IT and telecommunication equipment • Break room including refrigerator, microwave, sink and adequate tables and seating 	Project Monitoring
T8.8	Provide all collaboration tools and unified communications technologies and services required for optimal performance of the Project's personnel.	Y	A	October 29th, 2013	Attachment G1, Section 2.3.2	As discussed in our response to Identifier T8.2, we provide secure access to collaboration tools, and communications to back-office systems required to enhance productivity of the AME DSS Project staff.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T9.1	Secure collaboration tools access and interoperability with other State-authorized Project Stakeholders' tools (as warranted).	Y	A	3/19/2013	Attachment G1, Section 2.3.3	As discussed in our response to Identifier T8.1, Optum provide collaboration tools during the DDI period and will continue to support access to these tools during the operations period of the AME DSS Project.	Project Monitoring
T9.2	Comply with State-owned asset security and privacy safeguards, and ensure Project materials, work products, and deliverables are secured, that confidentiality is maintained at all times.	Y	A	October 29th, 2013	Attachment G1, Section 2.3.3	We will comply with State-owned asset security and privacy safeguards as directed by the State. We have strict policies related to safeguarding the confidentiality of the data and materials entrusted to us. Our corporate security policy includes physical and personnel controls related to maintaining the confidentiality of data and work materials. These controls include: <ul style="list-style-type: none"> • Physical controls for access to sensitive areas • Employee access to sensitive areas is granted based on assigned duties • Visitor control processes to prevent unescorted visitor access • Secure storage and destruction of sensitive materials • Mandatory annual security-related training for all employees 	Project Monitoring
T9.3	Comply with all federal regulation and State statutes for business services. Comply with the Technical Infrastructure Plan.	Y	A	October 29th, 2013	Attachment G1, Section 2.3.3	Optum acknowledges and will comply with this requirement.	Project Monitoring
T9.4	Prohibit performance of the Contract's services outside the continental United States, Alaska, or Hawaii.	Y	A	October 29th, 2013	Attachment G1, Section 2.3.3	We confirm that all work associated with the AME DSS Project will be performed within the continental United States.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T9.5	Define additional Operations (business services) requirements necessary to perform under the obligations of the Contract.	Y	A	October 29th, 2013	Attachment G1, Section 2.3.3	We propose to use the same facility for both the DDI Project Office and the Operations Facility. Please refer to our response to Identifier T8.7 for additional features included in our proposed facility.	Project Monitoring
T9.6	Provide all collaboration tools and unified communications technologies and services required for optimal performance of the Project's personnel.	Y	A	October 29th, 2013	Attachment G1, Section 2.3.3	We will provide secure access to collaboration tools, and communications to back-office systems required to enhance productivity of the AME DSS Project staff.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T10.1	Project Management Plan	Y	A	3/19/2013	Attachment G1, Section 3.1	We will provide a Project Management Plan that embodies PMBOK principles and that will be integrated with the Project Work Plan. We will work cooperatively with the State and make certain the Project Management Plan reflects the shared analysis and joint decisions made during the Phase 1 Kicking-Off meeting. Implementation of the DSS will be according to the Project Work Plan. The Change Management Process will be used to manage changes to the plan. Our Project Management Plan is fully described in Section 3.2 Project Management and Services.	Project Monitoring
T10.2	Project Tools and Techniques	Y	A	3/19/2013	Attachment G1, Section 3.1	<p>Optum will use the Project Work Plan in MS Project and DevSuite by TechExcel to facilitate, track and control project tasks. DevSuite is positively rated by Gartner and is used by market leading firms including Electronic Arts, Sony and Activision. DevSuite products are Web-based and allow complete traceability of requirements as they move through development, testing and to final deployment within the AME DSS solution. DevSuite components include DevSpec, DevTrack, and DevTest.</p> <p>Optum will document all deficiencies, defects and issues in the DevTrack defect tracking tool. We will utilize the DevTrack system to maintain a log of any problems, issues, or action items. The DevTest component of DevSuite supports Quality Assurance (QA) test management and planning.</p> <p>DevSpec provides requirements organization, reporting and full traceability. DevSpec includes a change management system that makes certain that changes to requirements and specifications are accomplished in a controlled manner. Optum will maintain all project requirements including the RTM, in the DevTrack system (or outside of DevTrack in a separate stand-alone matrix document, as mutually agreed)</p>	Project Monitoring
T.10.2 (Cont'd)						<p>Optum will use the BMC Footprints Incident and Problem Manager software to provide service level agreement tracking and monitoring. The BMC Footprints Incident and Problem Manager software will be used to route and report on issues to the appropriate group based on system component, severity and timeliness.</p> <p>We will use BMC Footprints Configuration Manager software to manage configuration items and to develop and maintain a configuration management database (CMDB).</p> <p>The Perforce software product will be used to provide software version control.</p> <p>Optum will provide an administrative server that will host a SharePoint site for project documentation. Microsoft Project will be used to manage the detailed work plan and its implementation.</p>	

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T.10.3	Project Methods and Procedures	Y	A	3/19/2013	Attachment G1, Section 3.1	<p>Our project management methodology is a mature set of principles, skills, tools and techniques that will be adapted to the AME DSS project requirements. Our methods and procedures will include a deliverables tracking and approval process, defect identification and problem resolution process, a change management and tracking process, a status reporting process, a project environmental impacts analysis process and a project performance management process. Each of these processes is discussed in Section 3.4, Project Methods and Procedures.</p> <p>Deliverable templates will be tailored to meet the State's requirements. This will save effort and time and will help us provide quality deliverables to the State. Optum will work with the State during the initiation phase of the project to establish a formal change control process conforming to the Information Technology Infrastructure Library (ITIL) standards and identify and agree on change triggers. The change control process, including roles and responsibilities, will be fully documented in the Change Management Plan.</p> <p>Pending review of the ITIL standard with the State during Phase I, we will use a Project Change Request (PCR) to document individual changes. The PCR will describe the change, the rationale for the change and the effect the change will have on the project.</p>	Project Monitoring
T10.4	Project Status Reporting	Y	A	3/19/2013	Attachment G1, Section 3.1	<p>We will provide status reports electronically and on a CD-RW in Microsoft Project, along with an updated Project Work Plan no later than 24 hours after the last State work day of the period being reported. As an alternative, Optum can store an electronic copy of status reports and other key project artifacts on the SharePoint collaborative portal, allowing authorized State personnel the ability to view or download the status report or other artifacts when needed.</p>	Project Monitoring
T10.5	Performance Management – DDI Phases	Y	A	3/19/2013	Attachment G1, Section 3.1	<p>Optum acknowledges and will comply with the Performance Management measures set forth in RFP Attachment G1, Section 3.4.6, Project Performance Management Process - Contract Delivery, Table 16.</p>	Project Monitoring
T11.1	Organization Charts and Contact Lists – A tool for illustrating the Project's execution and management structures, decision making hierarchy, span of control, and contact information that includes escalation points.	Y	A	3/19/2013	Attachment G1, Section 3.3	<p>Optum will use Microsoft Office Suite as our primary documentation tool and Adobe Acrobat as our primary publishing tool. Microsoft Visio and Microsoft PowerPoint charting capabilities will be used to satisfy graphic requirements. Microsoft Project will be used for the project work plan.</p>	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T11.2	Documentation Repository – A tool to identify, capture, catalogue and maintain all Systems and Services, and Enterprise Services documentation during the Project and throughout the Contract Period. The documentation must be made accessible to authorized Stakeholders during the Contract Period and the tool, and its contents, those that are non-proprietary and State-owned, retained by the State at the end of the Contract Period.	Y	A	3/19/2013	Attachment G1, Section 3.3	Optum will use Microsoft SharePoint to satisfy this requirement. SharePoint is a single platform that provides the necessary document management, content management and controlled access, archiving and security capabilities. We have successfully used SharePoint in other DSS implementations and operations including Washington.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
T11.3	Performance Management – A tool to electronically define, capture, and report Project services delivery performance and the reporting capability to report electronically, online in a dashboard, or hardcopy print (see Section 3.4.6 Performance Management Process – Contract Delivery herein).	Y	A	3/19/2013	Attachment G1, Section 3.3	Optum proposes the use of IBM Cognos Metric Manager software to provide the tool to electronically define, capture, and report Project services delivery performance report them through a comprehensive, customizable dashboard environment. Metric Manager is the scorecarding and metrics tool in IBM Cognos Business Intelligence. Optum will use Metric Manager to create a customized scorecarding environment to monitor and analyze performance metrics for the AME DSS development, implementation, and operations, and system performance. IBM Cognos Metric Manager helps translate the Department's service level agreement (SLA) requirements into actionable, measurable goals that align the Optum's actions and accountability to the Department's SLA with a strategic plan.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
T11.4	Requirements Tracking and Management – A tool for electronic capture, verification, traceability, amendment, and reporting of all the Project requirements defined in State-approved baseline of the Requirements Traceability Matrix (RTM) (see Attachment C). The RTM is a key deliverable utilized throughout the Project as an tracking instrument or source of contractual fulfillment and assurance by the State, and for use in the CMS certification of System that its operations satisfies all the Federal and State requirements defined in this RFP.	Y	A	3/19/2013	Attachment G1, Section 3.3	A key tool to the management of scope is the Requirements Traceability Matrix (RTM), which will be used to track and confirm the fulfillment of all in-scope requirements. The RTM will be initially populated with the detailed requirements from the RFP. DevSpec provides the full traceability of requirements that the State requires. It includes a change management system that makes certain changes to requirements and specifications are tracked and accomplished in a controlled manner. Stakeholders have visibility into "who changed what and when" and the various versions of requirements and specifications. Optum and authorized State staff members will have access to the RTM and reports to track where each requirement is in the development process. We will also use DevTrack to flag each RTM element that relates to CMS certification or other Federal and State standards requirements defined in this RFP. This will allow quick visibility to the status of any changes to requirements that drive certifications or standards and support both the State and Optum in meeting the projects Table 1 objectives related to CMS certification.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T11.5	Defect Management – A tool for electronic definition, traceability, verification, and reporting of all defects and resolutions. This includes the work-around resolutions as approved by the State using the Change Control Process throughout the Project's lifecycle.	Y	A	3/19/2013	Attachment G1, Section 3.3	Optum will use the DevTrack tool to maintain the RTM, track design and testing progress and track product defects and development issues. DevTrack is integrated into our requirements, design and testing process to verify that all contracted work is performed. Throughout the life of the project, all activities (including approved work-around resolutions) will be documented, tracked and updated on a weekly basis in a project work schedule using Microsoft Project, including approved changes. New or out-of-scope items added to the scope of the project will also be documented and tracked within the RTM.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
T11.6	Work Plan Management – A tool for electronic definition of the Project's baseline tasks, activities, milestones, deliverables, and dependencies. This includes the capture of work plan estimates, actuals, estimates to complete, and a reporting capability to see the information in a variety of standard reporting format. (Gantt charts, task lists, key activity lists, tiered tasks levels, priority, dependencies, successor and predecessor, open, closed, remaining hours, estimated hours, actual hours, planned hours, baselines).	Y	A	3/19/2013	Attachment G1, Section 3.3	We will use Microsoft Office Suite as our primary documentation tool; Adobe Acrobat as our primary publishing tool; and Microsoft SharePoint as our primary document management tool. Microsoft Office Project will be used to manage the project schedule and WBS. In our recent implementations in Washington and California we used MS Word and Excel to create DDI documents and to create data dictionaries. These products were then published to the SharePoint directory for State and other project staff access. Optum will finalize a detailed project work plan reflecting the schedule, effort, duration and resources required to complete the project as defined in the RFP. The project work plan will be based on the proven Optum software development framework and our understanding of the RFP requirements. It will include key milestone dates along with critical path analysis to understand tasks that cannot be moved without impacting milestone dates. When applicable, it will include a cross reference to the project requirements as stated in the RFP and/or agreed to as part of the scope management and change management process throughout the project. A work baseline will be created at the end of initial project planning and delivered to the State PMO and the State project manager. All variations in schedule or budget will be monitored against the baseline. The project work plan can only be revised and re-based lined through the change control procedure and with the approval of appropriate State and Optum management. Optum personnel will track their actual time for each project with a formal time and project cost accounting system. Time reporting is performed for each project against a collection of tasks based on the activities needed to complete the work, each of which relates back to one or more tasks in the detailed project work plan. This project execution tracking will be used to estimate the "labor to complete" when revising work plan estimates over the course of the project. Discrepancies will be identified and documented and root cause analysis will be performed when actual work reported varies from estimates by more than 15 percent.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T.11.6 (cont'd)						Where time estimates for Optum personnel are closely related to work performed by State personnel, we will review those work items carefully with the State prior to updating the work plan. Optum's Project Manager, Mr. Steve Grimshaw will update the project work plan weekly using Microsoft Project to reflect actual effort, revised estimates to complete, new, or revised assignments and other related information. He will also analyze the plan to detect and assess variances to schedule, impact on milestone dates and mitigation actions or recommendations. The results of such analysis will be presented to the State during status meetings.	
T11.7	Change Control – A tool for the systematic management of all changes or requests for changes made to the Project (scope, cost, quality, objectives, priorities, resources, software, design, schedule, etc.). A process and event log with approvals and authorizations to ensure that no unnecessary changes are made, that all changes are documented, that services are not unnecessarily disrupted and that resources are used efficiently.	Y	A	3/19/2013	Attachment G2, Section 3.3	we will effectively manage the AME DSS project's requirements using DevSuite for the systematic management for all changes made to the project. DevSpec includes a change management system that makes certain changes to requirements and specifications are accomplished in a controlled manner and stakeholders have visibility into "who changed what and when" and the various versions of requirements and specifications. Approved change requests that also require a Task Order are passed to the Task Order processing described in the response to Identifier T11.10 and have a change request status reflecting the task order assigned and it's status.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
T11.8	Deliverables Tracking and Approvals – A tool for the systematic management of all deliverables through their development, review, and approval.	Y	A	3/19/2013	Attachment G2, Section 3.3	Optum will use Microsoft SharePoint to manage development, editing and review of deliverables and will use DevTrack to provide automated workflow for approvals. DevTrack can be configured to log events and each approval step/result.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
T11.9	Status Reporting – A tool for the systematic development, review, approval, and distribution of Project status data as determined by the State.	Y	A	3/19/2013	Attachment G2, Section 3.3	Our Project Manager Mr. Grimshaw will establish and maintain clear lines of communications between the State, Optum management, and the project team through the following reporting methods: • Team Reporting – Each team member will provide weekly individual status and time reports that describe accomplishments, planned activities, effort forecasts, issues and lost time. Mr. Grimshaw will use the reports to create a consolidated status report.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T11.10	Task Orders – A tool for the systematic development, review and approval of Task Orders using the Change Control Process; Task Orders are the authorized State and Contractor terms and conditions to proceed with changes to the Contractor's contractual obligations, Scope of Work or Services.	Y	A	3/19/2013	Attachment G2, Section 3.3	Tasks Orders begin as change requests and are tracked through the Change Request process described in Identifier T11.7. If a Task Order is required, Optum provides technical details, costs, impact and proposed schedule to the State so that the State can authorize a Task Order.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
T11.11	Project Collaboration – A tool for capture and distribution of formal, yet routine Project communications and deliverables management and collaboration; the access, storage, manipulation, and retrieval of Project artifacts (e.g., SharePoint).	Y	A	3/19/2013	Attachment G2, Section 3.3	Optum will use the Microsoft SharePoint tool for project collaboration.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
T11.12	Configuration Management – A tool or database that contains all relevant information about the components of the System deployed herein this RFP and the services and the relationships between those components. Within this context, components of an information system are referred to as configuration items (CI).	Y	A	3/19/2013	Attachment G2, Section 3.3	Optum will use BMC Footprints Change Manager software product for configuration management tracking and the Configuration Management Data Base (CMDB). The BMC Footprints Change Manager software provides several features, including: <ul style="list-style-type: none"> • Configurable and Flexible - Quickly and easily tailor the CMDB to the State's requirements and create processes based upon unique business needs using Web-based administration tools that require no programming • Register New Configuration Items (CI) – Register new logical, physical and virtual CIs, including records for services, systems, hardware, software, documents, virtual machines and servers 	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
T11.12 (cont'd)						<ul style="list-style-type: none"> • View and Manage Item Relationships – Set relationships between CIs, such as parent/child, peer-to-peer, installed on, runs on and view CI relationships through a graphic display while identifying impacted CIs when one CI has failed or is failing • Track Lifecycle Status – Track lifecycle statuses, including designed, ordered, under development, in test, implemented, in production, in repair/maintenance and more • Manage Change – Prevent changes made to a CI without authorization via FootPrints Change Manager. • Identify and report unauthorized changes to the infrastructure • Reporting – Provide Department and Optum management with the data trends and performance metrics automatically to facilitate critical decisions • Reconciliation – Automate validation of CI data and reconciliation 	

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T11.13	Change Tracking System (CTS) - The Contractor must document all Change Requests, and as a result, provide for a tool and procedures. The Contractor shall provide an application used to remotely submit a Change Request, to track the status of the Change request, and to report resolution or completion of a Change Request. The Contractor shall ensure that the application permits for the Project's planning and budgeting needs for Project and fiscal year reporting.	Y	A	3/19/2013	Attachment G2, Section 3.3	Optum will use the DevSpec tool for a change request tracking and approval system that begins with a project change request (PCR). The PCR can be initiated remotely and the submitter can track its status. The dollar value and proposed schedule for PCRs pending approval or approved are posted to project planning and budgeting tools so that they can be included in project planning for current and future fiscal years.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
T11.14	Training Enrollment and Tracking Tool - The Contractor, as part of the Training Plan, must provide for a Training Enrollment and Course Completion tool. This tool must be capable of enrolling, scheduling, tracking attendance, and reporting training results.	Y	A	3/19/2013	Attachment G1, Section 3.3	Optum will utilize the Kaizen Software Solutions Training Manager software as our Training Enrollment and Tracking System. The Training Manager software provides several benefits to manage and streamline AME DSS training, including capability to : <ul style="list-style-type: none"> • Track course information including version history and related documents • Schedule class sessions and send email reminders for upcoming training • Export reports in a variety of formats to send to managers or individuals • Print class rosters for students to sign and trainers to return for confirmation of attendance 	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
T12.1	Conduct formal reviews with the State-designated individuals prior to receiving approval as prescribed by the State.	Y	A	3/19/2013	Attachment G1, Section 3.4.1	Our deliverable process has a built-in formal review in the "Deliverable Walk-Thru & State Review step." After this step, we will incorporate State comments and resubmit the draft deliverable for final approval. This process will help us avoid project delays from repeated rounds of submission, review and comment, incorporation of comments, and resubmission. Optum will produce required deliverables within the timelines specified in the RFP, or by the dates established in the approved Project Work Plan.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
T12.2	Allow a State review cycle-time period of ten State work days for each review period, although less time may be taken.	Y	A	3/19/2013	Attachment G1, Section 3.4.1	Optum will allocate ten work days for each deliverable review in our draft Project Work Plan.	Project Monitoring
T12.3	Schedule new deliverables or rejected deliverables review meetings if necessary with the State to clarify the State's findings.	Y	A	3/19/2013	Attachment G1, Section 3.4.1	We will coordinate review meetings for new and rejected deliverables as necessary. Optum will schedule a walk-through for each new deliverable so the State has a clear understanding of the contents of each deliverable.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T12.4	Additional deliverable and milestone reviews will reset the ten State work day review period to State work day one each time Contractor revisions are made.	Y	A	3/19/2013	Attachment G1, Section 3.4.1	We understand that the ten work day review period will reset every time we make a revision and submit it to the State. In order to minimize project delays from repeated rounds of submission, review and comment, incorporation of comments and resubmission Optum recommends that the State conduct one comprehensive review of a draft deliverable and, after Optum's incorporation of State comments, the deliverable will be resubmitted for approval and finalized. This approach will require the State to verify that stakeholders for a deliverable are included in the review process of the draft deliverable. Optum structured our work plan based on this approach but will revise the plan if the State does not approve this recommendation.	Project Monitoring
T12.5	All revisions to the deliverable must be made before the deliverable is resubmitted to the State for another review.	Y	A	3/19/2013	Attachment G1, Section 3.4.1	We understand that all deliverables must be completed before resubmission. We will follow our Deliverable Process to verify that all steps are completed prior to submission to the State.	Project Monitoring
T12.6	The Contractor must be consistent with accepted standards of practice adopted by the State as final versions of deliverables and milestones.	Y	A	3/19/2013	Attachment G1, Section 3.4.1	We will make use of deliverable templates when possible and will tailor them to meet Arkansas requirements. Use of standard deliverable templates will save effort and time and will help us provide quality deliverables to the State. During the third step of our deliverable approach, "Determine Deliverable Template," we confirm compliance with State standards of practice.	Project Monitoring
T12.7	The Contractor is allowed to submit interim deliverables to the State for their advance review to promote schedule progress.	Y	A	3/19/2013	Attachment G1, Section 3.4.1	We will utilize interim deliverables to promote schedule progress.	Project Monitoring
T12.8	All formally approved deliverables must be submitted on CD-ROM with fully readable and updateable (modifiable) files using tools from Microsoft (MS) Office 2003 and 2007 (MS Word 2003 and 2007, MS Excel 2003 and 2007, MS PowerPoint 2003 and 2007, and MS Access 2003 and 2007) and in some cases, in Adobe portable document format (PDF) readable, searchable, and updateable by special request of the State.	Y	A	3/19/2013	Attachment G1, Section 3.4.1	We will submit approved deliverables electronically as required by the State.	Project Monitoring
T13.1	Participate in State's defect root-cause analysis and reporting.	Y	A	3/19/2013	Attachment G1, Section 3.4.2	We will work with the State to verify root-cause analysis and reporting.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T13.2	Adopt the State's defect identification and problem resolution tracking tool.	Y	A	3/19/2013	Attachment G1, Section 3.4.2	As described in our response to T11.5, our DevSuite tool has a component, DevTrack that facilitates defect management. However, we will adopt the State's defect identification and problem resolution tracking tool as required.	Project monitoring and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
T13.3	Adopt the State's defect severity ratings and resolution response times: 1. Priority 1 - Fewer than five calendar days 2. Priority 2 - In the next monthly release 3. Priority 3 - Within the next two monthly releases 4. Priority 4 - Within the next three monthly releases 5. Priority 5 - Within a schedule to be mutually agreed upon	Y	A	3/19/2013	Attachment G1, Section 3.4.2	We will implement the State's severity ratings and resolution response times.	Project monitoring and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
T13.4	Participate in root cause analysis and the defect resolution within timeframes defined by the State after the defect is identified.	Y	A	3/19/2013	Attachment G1, Section 3.4.2	We will participate in root cause analysis and the defect resolution within the State-defined time frames.	Project Monitoring
T13.5	Provide for temporary workarounds, when approved by the State, until the cause of the defect is cured.	Y	A	3/19/2013	Attachment G1, Section 3.4.2	As necessary, we will provide State-approved temporary workarounds if a defect cannot be cured immediately.	Project Monitoring
T13.6	Obtain State approval to proceed with all defect resolutions and State sign-off or acceptance when the defect is cured.	Y	A	3/19/2013	Attachment G1, Section 3.4.2	We will seek and obtain approval from the State to proceed with defect resolutions and State sign-off/acceptance when the defect is cured.	Project Monitoring
T13.7	Allow five State work days for reviewing and approving the Contractor's defection resolution or corrective action plan (CAP).	Y	A	3/19/2013	Attachment G1, Section 3.4.2	We understand that the State has five working days for review and approval of defect resolutions or CAPs.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T14.1	Due ten State work days after the Contract Start Date, and every other Monday or State work day thereafter if that Monday is not a State work day, for the duration of the Contract Period unless designated otherwise by the State.	Y	A	3/19/2013	Attachment G1, Section 3.4.4	We will provide status reports ten days after contract start date and every other Monday, or work day thereafter, for the duration of the contract period. Optum includes a recurring task in our Draft Project Work Plan for the bi-weekly submission of a formal project status report.	Project Monitoring
T14.2	Any material impacts to the Project, meaning a negative impact is eminent or a probably of 75% or greater exists in terms of scope, quality, schedule, assumptions or risks or pass-through cost originating from the Project Management Plan will also be reported by the Contractor.	Y	A	3/19/2013	Attachment G1, Section 3.4.4	We will report any material impacts to the project to the State in our status report. If an issue is identified with material impact that Optum feels the State should be aware of immediately, our project manager will submit an email defining the issue and request a special meeting with the State to discuss the issue and potential resolution steps, if necessary.	Project Monitoring
T14.3	Material impacts will accompany the Status Report frequency in a Microsoft Word or PowerPoint medium and supported with a Contractor-recommended Corrective Action Plan (CAP).	Y	A	3/19/2013	Attachment G1, Section 3.4.4	Material impacts will be reported in Microsoft Word or PowerPoint with our status reports, along with a Corrective Action Plan (CAP).	Project Monitoring
T14.4	The results of State approved CAPs will be reported each period, or more frequently as defined by the State PMO, until such time the State deems the material nature of the impact has been resolved or the probability of occurrence is less than 40% during the next reporting period.	Y	A	3/19/2013	Attachment G1, Section 3.4.4	We will report the results of the CAP per the frequency defined by the State PMO.	Project Monitoring
T14.5	The Contractor will support the State PMO in preparations regarding Project status, specifically in terms of authoring and packaging meeting agenda and materials, status presentations, and ad-hoc contents based upon the interests of the State and the Project's Stakeholders.	Y	A	3/19/2013	Attachment G1, Section 3.4.4	We will support the State PMO in preparing Project status materials.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T14.6	Status Reports will be provided to the State PMO electronically and in softcopy on CD-RW in Microsoft Project accompanied with an updated version of the Project Work Plan aged no later than 24 hours representing the last State work day.	Y	A	3/19/2013	Attachment G1, Section 3.4.4	We will provide status reports electronically and on a CD-RW in Microsoft Project, along with an updated Project Work Plan aged no later than 24 hours after the last State work day. As an alternative, Optum can store an electronic copy of status reports and other key project artifacts on the SharePoint collaborative portal, allowing authorized State personnel the ability to download the status report or other artifacts when needed.	Project Monitoring
T14.7	Status reporting includes the following obligations: 1. Project Work Plan Updates (in proper Format, Medium, Frequency) 2. WBS Updates 3. Key Assumption Updates 4. Risks and Risk Avoidance Responses 5. Project Management Plan Updates (material impacts) 6. Corrective Action Plans and Progress (material impacts)	Y	A	3/19/2013	Attachment G1, Section 3.4.4	We will provide all of the status reports listed, as required.	Project Monitoring
T15.1	State Medicaid Health Information Technology Plan (SMHP)	Y	A	3/19/2013	Attachment G1, Section 3.4.5	Optum acknowledges and will comply with this requirement.	Project Monitoring
T15.2	State of Arkansas Strategic Plan for Information Technology	Y	A	3/19/2013	Attachment G1, Section 3.4.5	Optum acknowledges and will comply with this requirement.	Project Monitoring
T15.3	State Mandated Requirements	Y	A	3/19/2013	Attachment G1, Section 3.4.5	Optum acknowledges and will comply with this requirement.	Project Monitoring
T15.4	Federally Mandated Requirements	Y	A	3/19/2013	Attachment G1, Section 3.4.5	Optum acknowledges and will comply with this requirement.	Project Monitoring
T15.5	Federal Medicaid Industry Adoption of New Business Rules/Standards	Y	A	3/19/2013	Attachment G1, Section 3.4.5	Optum acknowledges and will comply with this requirement.	Project Monitoring
T15.6	Federal (CMS) Certification Toolkit Checklist Requirements	Y	A	3/19/2013	Attachment G1, Section 3.4.5	Optum acknowledges and will comply with this requirement.	Project Monitoring
T15.7	Federal (CMS) Medicaid Information Technology Architecture (MITA) Standards	Y	A	3/19/2013	Attachment G1, Section 3.4.5	Optum acknowledges and will comply with this requirement.	Project Monitoring
T15.8	Federal American Recovery and Reinvestment Act of 2009 (ARRAs)	Y	A	3/19/2013	Attachment G1, Section 3.4.5	Optum acknowledges and will comply with this requirement.	Project Monitoring
T15.9	Federal Patient Protection and Affordable Care Act (ACA)	Y	A	3/19/2013	Attachment G1, Section 3.4.5	Optum acknowledges and will comply with this requirement.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T15.10	National Correct Coding Initiative	Y	A	3/19/2013	Attachment G1, Section 3.4.5	Optum acknowledges and will comply with this requirement.	Project Monitoring
T15.11	Federal (CMS) State Medicaid Directives (Director's Letters)	Y	A	3/19/2013	Attachment G1, Section 3.4.5	Optum acknowledges and will comply with this requirement.	Project Monitoring
T15.12	Health Information Technology for Economic and Clinical Health (HITECH) Act Requirements	Y	A	3/19/2013	Attachment G1, Section 3.4.5	Optum acknowledges and will comply with this requirement.	Project Monitoring
T15.13	State Payment Reform Initiatives	Y	A	3/19/2013	Attachment G1, Section 3.4.5	Optum acknowledges and will comply with this requirement.	Project Monitoring
T16.1	Key Personnel Positions	Y	A	3/19/2013	Attachment G1, Section 3.4.6	Optum acknowledges this requirement, with the understanding that (i) "annual leave" shall mean regularly scheduled vacation to which the key staff are entitled and (ii) the payment amount shall not apply to any State work day where Optum has proposed a temporary or permanent replacement but the State has not yet approved or rejected that replacement, where approval shall not be unreasonably withheld or delayed.	Project Monitoring
T16.2	Categorized Staffing	Y	A	3/19/2013	Attachment G1, Section 3.4.6	Optum acknowledges this requirement, with the understanding that the reduction in payment to the Contractor shall be prorated for the time that the minimum staffing level is not maintained at ninety-five percent or less from that set forth in the Personnel Plan and WBS.	Project Monitoring
T16.3	Status Reporting	Y	A	3/19/2013	Attachment G1, Section 3.4.6	Optum acknowledges this requirement, with the understanding that acceptability shall be based upon whether the status report contains the mutually agreed upon content.	Project Monitoring
T16.4	HIPAA Compliance Requirements	Y	A	3/19/2013	Attachment G1, Section 3.4.6	Optum acknowledges this requirement to the extent the penalties that are assessed to the State are proximately caused by Optum's acts or omissions.	Project Monitoring
T16.5	Production Environment Defect Correction Action Plan (PDCAP)	Y	A	3/19/2013	Attachment G1, Section 3.4.6	Optum acknowledges this requirement, with the understanding that the assessed payment shall apply only where Optum fails to produce the CAP within four (4) business hours from identification of the Defect within the State's Production Environment and where a "business hour" is defined as the period from 8:00 a.m. to 6:00 p.m., Monday through Friday, exclusive of locally observed holidays.	Project Monitoring
T16.6	Production Environment Emergency Requests for Support	Y	A	3/19/2013	Attachment G1, Section 3.4.6	Optum acknowledges this requirement, with the understanding that the four hour period shall be measured using four (4) business hours.	Project Monitoring
T16.7	Change Order	Y	A	3/19/2013	Attachment G1, Section 3.4.6	Optum acknowledges this requirement, with the understanding that the assessed payment shall commence on the fourth (4th) work day where the Contractor fails to provide its evaluation of the Change Order to the State until such evaluation has been provided.	Project Monitoring
T16.8	Change Order Commitment Dates	Y	A	3/19/2013	Attachment G1, Section 3.4.6	Optum acknowledges and will comply with this requirement.	Project Monitoring
T16.9	Score Card Review Schedule	Y	A	3/19/2013	Attachment G1, Section 3.4.6	Optum acknowledges and will comply with this requirement.	Project Monitoring
T16.10	Score Card Corrective Action Plan (SCCAP)	Y	A	3/19/2013	Attachment G1, Section 3.4.6	Optum acknowledges this requirement, with the understanding that the State shall measure whether the deficiency has been corrected based on objective, written criteria.	Project Monitoring
T16.11	Remote Site Operations	Y	A	3/19/2013	Attachment G1, Section 3.4.6	Optum acknowledges and will comply with this requirement.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T16.12	Access to Contractor Key Personnel.	Y	A	3/19/2013	Attachment G1, Section 3.4.6	Optum acknowledges this requirement, with the understanding that the word "not" in the "Assessed Payment/Recoupment" column shall mean "no."	Project Monitoring
T16.13	Milestones	Y	A	3/19/2013	Attachment G1, Section 3.4.6	Optum acknowledges this requirement, with the understanding that (a) timeliness shall be as defined in the approved WBS or modified WBS as approved using the State's Change Order process, (b) the State shall deem 'acceptable' any Milestone that has been met based upon mutually agreed upon acceptance criteria.	Project Monitoring
T16.14	Documentation	Y	A	3/19/2013	Attachment G1, Section 3.4.6	Optum acknowledges this requirement, with the understanding that mutually agreed upon acceptance criteria shall be used to determine if the Documentation is unacceptable.	Project Monitoring
T16.15	Support Access	Y	A	3/19/2013	Attachment G1, Section 3.4.6	Optum acknowledges and will comply with this requirement.	Project Monitoring
T16.16	Support Response Time	Y	A	3/19/2013	Attachment G1, Section 3.4.6	Optum acknowledges and will comply with this requirement.	Project Monitoring
T16.17	CMS Certifiable	Y	A	3/19/2013	Attachment G1, Section 3.4.6	Optum acknowledges and will comply with this requirement.	Project Monitoring
T16.18	Deliverables	Y	A	3/19/2013	Attachment G1, Section 3.4.6	Optum acknowledges this requirement, with the understanding that mutually agreed upon acceptance criteria shall be used to determine if the Deliverable is unacceptable.	Project Monitoring
T16.19	Records and Data Retention and Access	Y	A	3/19/2013	Attachment G1, Section 3.4.6	Optum acknowledges and will comply with this requirement.	Project Monitoring
T16.20	Publicity	Y	A	3/19/2013	Attachment G1, Section 3.4.6	Optum acknowledges and will comply with this requirement.	Project Monitoring
T16.21	Deduction from Payments	Y	A	3/19/2013	Attachment G1, Section 3.4.6	Optum acknowledges and will comply with this requirement.	Project Monitoring
T16.22	Withholds from Payments	Y	A	3/19/2013	Attachment G1, Section 3.4.6	Optum acknowledges and will comply with this requirement.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T17.1	A detailed review of the Contractor's Proposal.	Y	A	3/19/2013	Attachment G1, Section 4.1.1	We will create Microsoft PowerPoint slides and other graphics and review with the State our proposed solution and draft plans. We will delineate roles and responsibilities to accomplish all State goals and objectives.	Project Monitoring
	A detailed review of the Project's objectives, plans, life cycle, schedules, interfaces, deliverables, hardware and software configurations, infrastructure designs, training materials, bill of materials, business rules, processing logic, workflow and imaging, and any other artifacts the Contractor deems material to the Project's successful implementation and operation.	Y	A	3/19/2013	Attachment G1, Section 4.1.1	Optum will provide draft content or templates for deliverables that require additional input or finalization subsequent to the AME DSS kick-off meeting, such as hardware and software configurations, infrastructure designs, and bill of materials. Optum will provide example content from other projects for items such as business rules, training materials, and documentation to provide the State a sample approach that could be utilized for the AME DSS project for these items. Optum will provide completed content for sections that can be finalized, such as the Requirements Traceability Matrix (RTM).	Project Monitoring
T17.2	A detailed review and orientation of the Contractor Documentation as defined in Table 16.	Y	A	3/19/2013	Attachment G1, Section 4.1.1	During kick-off, we will provide a review and orientation of the documentation for the Project Components that Optum will deliver as part of the AME DSS.	Project Monitoring
T17.3	A detailed exchange and knowledge transfer by the Contractor and the State needed to achieve business and technology goal and objective alignment among the Attachments G1, G2, and G3 (if applicable) herein this RFP.	Y	A	3/19/2013	Attachment G1, Section 4.1.1	Optum will work with the State and the Core Contractor to ensure a clear understanding, delineation and agreement is achieved between all entities.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T17.4	A detailed review and validation of the Project's Requirements Traceability Matrix (RTM).	Y	A	3/19/2013	Attachment G1, Section 4.1.1	We will review the RTM with the State to validate the requirements and our deliverables.	Project Monitoring
T17.5	The production of the Requirements Gap Matrix as input to the Contractor's Gap-closure Recommendations and Priority Matrix.	Y	A	3/19/2013	Attachment G1, Section 4.1.1	The Gap Matrix document delivered as Attachment D of this proposal will serve as input to the Gap Closure Recommendations and Priority Matrix. Optum's commercial off of the shelf (COTS)-based approach will provide the State with the flexibility to more quickly and easily address any gaps in functionality.	Project Monitoring
T17.6	The production of the Contractor's Gap-closure Recommendations and Priority Matrix.	Y	A	3/19/2013	Attachment G1, Section 4.1.1	Optum's commercial off the shelf (COTS)-based approach will provide the State with the flexibility to more quickly and easily address any gaps in functionality	Project Monitoring
T17.7	The production of the baseline versions of the Project Management Plan and the Planning Kick-off Meeting Deliverables defined herein Phase I.	Y	A	3/19/2013	Attachment G1, Section 4.1.1	During the project kick-off meeting, we will provide our draft Project Management Plan and the Phase I deliverables for the State's review and approval.	Project Monitoring
T17.8	The production of clearly articulated division of responsibility defined in the tasks, activities, deliverables, and milestones for the Contractor's SOW. Clearly illustrated areas of collaboration and coordination with the State and its Stakeholders, predecessor and successor dependencies.	Y	A	3/19/2013	Attachment G1, Section 4.1.1	Optum's significant experience in the design, development and implementation of decision support and data warehouse systems will provide the capability to understand the components of the necessary tasks, activities, deliverables and milestones for the SOW, and identify areas of collaboration and coordination with the State and its Stakeholders.	Project Monitoring
T17.9	The distinction between the Performance Management of the Contract and the Operations.	Y	A	3/19/2013	Attachment G1, Section 4.1.1	During the kick-off meeting, we will make certain that a clear delineation is made between Performance Management and the Operations of the contract.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T17.10	The detailed review and approval of the Data Center Computing Environments' systemic data capture of the KPI data, the frequency of data capture, the process for data extraction, evaluation, storing, and reporting performance measures and their correlation to the SLAs.	Y	A	3/19/2013	Attachment G1, Section 4.1.1	As part of the AME DSS solution, we will use IBM Cognos Business Intelligence (BI) software to provide service level agreement (SLA) tracking and monitoring. Optum will implement processes for monitoring the various components of the AME DSS solution including load times, storage capacity, query times, network traffic, down times, and peak load periods as specified in RFP Attachment G2, Table 2.10.3 DSS Performance Standards.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
T17.11	The definition of the proper order and sequence of Project Components schedule of activities to optimize the State's goals and objectives and reduce waste and rework.	Y	A	3/19/2013	Attachment G1, Section 4.1.1	The draft work plan will be used to track the schedule of activities. Our experience in other states with transitioning data warehouse and DSS projects including California, Mississippi, Illinois, Missouri, District of Columbia, and other states, along with our proposed senior team, will provide lessons learned to reduce waste and rework.	Project Monitoring
T17.12	The definition, deployment, configuration, initialization of the Project management and administration Tools and Techniques deployed throughout the Project lifecycle and during the Contract Period.	Y	A	3/19/2013	Attachment G1, Section 4.1.1	Optum will use Microsoft Project to manage the AME DSS project work plan, Perforce for software version control, BMC Footprints Configuration Manager for configuration management, and TechExcel DevSuite for testing, defect tracking, issue management, and requirements management.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T17.13	The detailed review and approval of the Contractor's plans for MITA maturity; scheduled improvements in the business, information, and technology architectures.	Y	A	3/19/2013	Attachment G1, Section 4.1.1	Optum's COTS-based approach provides the State with a significant advancement in MITA maturity, and is already closely aligned with objectives stated in MITA 2.01. Optum will continue to work closely with CMS and the State to define and plan for future improvements in business, information, and technology architectures.	Project Monitoring
T18.1	Incoming (Kick-off) Orientation Plan	Y	A	3/19/2013	Attachment G1, Section 4.1.1	Optum will work with the State to identify the requirements for this Deliverable. We will bring some ideas from successful "kick-offs" in other states, most recently Indiana.	Project Monitoring
T18.2	Contractor Documentation (Table 19)	Y	A	3/19/2013	Attachment G1, Section 4.1.1	We will provide the documentation as described in Table 19.	Project Monitoring
T18.3	Project Requirements Traceability Matrix (RTM)	Y	A	3/19/2013	Attachment G1, Section 4.1.1	Our RTM is included as Attachment C of this proposal and will be provided at project kick-off.	Project Monitoring
T18.4	System Engineering Management Plan (SEMP)	Y	A	3/19/2013	Attachment G1, Section 4.1.1	Our draft SEMP is provided as Attachment E of this proposal. We will work with the State to finalize the plan.	Project Monitoring
T18.5	Test and Evaluation Management Plan (TEMP)	Y	A	3/19/2013	Attachment G1, Section 4.1.1	Our draft TEMP is provided as Attachment F of this proposal. We will work with the State to finalize the plan.	Project Monitoring
T18.6	Performance Management Plan: Operations Phases	Y	A	3/19/2013	Attachment G1, Section 4.1.1	Our draft TEMP is provided as an attachment to the AME DSS proposal. We will work with the State to finalize the plan.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T18.7	Data Center Computing Environment Specification Plan	Y	A	3/19/2013	Attachment G1, Section 4.1.1	Our approach to operational facilities and infrastructure design is focused on providing secure availability and continuous access to the Optum AME DSS solution. Our hardware infrastructure includes redundant, fault tolerant elements to protect against loss of availability from the potential failure of single components of the solution. Our proposed data center hosting environments include industry leading capabilities to make sure the AME DSS is secure, available, and protected from threats related to power availability, environmental system failure, weather, physical and electronic attacks. See more detail on the Optum Data Center Computing Environment in Proposal Attachment G1, Section 2.3 Project Facility.	Project Monitoring
T18.8	Technical Infrastructure Plan (TIP)	Y	A	3/19/2013	Attachment G1, Section 4.1.1	Optum will coordinate all aspects related to the preparation, delivery, installation, testing, operations, and on-going support (including maintenance and repair) of all proposed hardware and associated software. Optum has extensive experience in managing data center operations and hardware maintenance and we will leverage this experience to help drive the success of the AME DSS Project. Optum will present the TIP during kick-off and upon completion of installation, configuration, and integration of the technical infrastructure. Optum will complete the detailed TIP in Phase I.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T18.9	Configuration and Integration Plan (CIP)	Y	A	3/19/2013	Attachment G1, Section 4.1.1	Optum acknowledges and will comply with this requirement. For more details, please see Proposal Attachment G1, Section 4.2.2 Configuration and Integration.	Project Monitoring
T18.10	Configuration Management Plan (System and Services Software)	Y	A	3/19/2013	Attachment G1, Section 4.1.1	Optum acknowledges and will comply with this requirement. For more details, please see Proposal Attachment G1, Section 4.1.2.2 Configuration Management Plan.	Project Monitoring
T18.11	Defect Identification and Problem Resolution Plan (DIPRP)	Y	A	3/19/2013	Attachment G1, Section 4.1.1	Optum acknowledges and will comply with this requirement. Please see Proposal Attachment G1, Section 3.4.2 for more information on our Defect Identification and Problem Resolution Process.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T18.12	Score Card Template	Y	A	3/19/2013	Attachment G1, Section 4.1.1	<p>As part of the AME DSS solution, Optum proposes the use of IBM Cognos Metrics Manager as the tool to electronically define, capture, and report project services delivery. Performance reporting is provided through a comprehensive, customizable dashboard environment.</p> <p>Metrics Manager is the scorecarding and metrics component of the IBM Cognos BI suite. Optum will use Metrics Manager to create a customized scorecarding environment to monitor and analyze performance metrics for the AME DSS development, implementation, operations, and system performance. Metrics Manager helps translate the State's SLA requirements into actionable, measurable goals that align Optum's actions and accountability to the State's SLA with the project plan. As described in Proposal Attachment G1, Section 6.6 through 6.10, Optum will provide, during Phase I.</p>	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T18.13	Project Turnover Management Plan (High-level)	Y	A	3/19/2013	Attachment G1, Section 4.1.1	With more than 18 years of experience in DSS operations, Optum has gained considerable knowledge and qualifications for taking over services from other vendors as well as transitioning services to successor vendors or state personnel. This dual perspective gives Optum an established understanding of turnover tasks and schedules, turnover responsibilities and the critical factors necessary for a successful transition. As described in Proposal Attachment G1, Section 4.6 Phase V Turnover and Closeout, Optum will provide, during Phase I an end of contract transition plan.	Project Monitoring
T18.14	Training Master Plan (high level)	Y	A	3/19/2013	Attachment G1, Section 4.1.1	Optum acknowledges and will comply with this requirement. Please see Proposal Attachment G1, Section 4.3.1.2 Training Plan – Detailed for more information.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T18.15	Staffing Management Plan (high Level)	Y	A	3/19/2013	Attachment G1, Section 4.1.1	Optum will provide a Staff Management Plan to support the staffing proposed in Proposal Attachment A, Key Personnel. The Staffing Management Plan for the AME DSS project will include details on assembling and assigning work to a project team with the appropriate skill sets to meet the project deliverables and tasks identified during the Initiation stage of Phase I of the AME DSS Project. The Staffing plan will also provide details on any non-labor resources such as tools, equipment, or on-boarding processes required by the project team to undertake the assigned tasks.	Project Monitoring
T18.16	Phase 1 Completion Report (with appendix of the lessons learned)	Y	A	3/19/2013	Attachment G1, Section 4.1.1	Optum acknowledges and will comply with this requirement.	Project Monitoring
T19.1	Systems and Services Roadmap (Funded Developments 12, 24, 36 Months)	Y	A	3/19/2013	Attachment G1, Section 4.1.1	Optum acknowledges and will comply with this requirement.	Project Monitoring
T19.2	36 Month Schedule (Releases, Enhancements, Patches, Conversions, Retirements)	Y	A	3/19/2013	Attachment G1, Section 4.1.1	Optum acknowledges and will comply with this requirement.	Project Monitoring
T19.3	Computing Environment (Technical Diagrams, Specifications, Configurations)	Y	A	3/19/2013	Attachment G1, Section 4.1.1	Optum acknowledges and will comply with this requirement.	Project Monitoring
T19.4	Enterprise or Enterprise Services (Technical Diagrams, Specifications, Configurations)	Y	A	3/19/2013	Attachment G1, Section 4.1.1	Optum acknowledges and will comply with this requirement.	Project Monitoring
T19.5	Supported Standards (HIPAA, ANSI X.12, HL7, Other)	Y	A	3/19/2013	Attachment G1, Section 4.1.1	Optum acknowledges and will comply with this requirement.	Project Monitoring
T19.6	Interfaces (Inventory, Standards, Specifications, Configurations)	Y	A	3/19/2013	Attachment G1, Section 4.1.1	Optum acknowledges and will comply with this requirement.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T19.7	Software (Inventory, Supplier, Configuration)	Y	A	3/19/2013	Attachment G1, Section 4.1.1	Optum acknowledges and will comply with this requirement.	Project Monitoring
T19.8	Hardware (Inventory, Specifications, Configurations, Supplier)	Y	A	3/19/2013	Attachment G1, Section 4.1.1	Optum acknowledges and will comply with this requirement.	Project Monitoring
T19.9	Networks (Technical Diagrams, Specifications, Configurations)	Y	A	3/19/2013	Attachment G1, Section 4.1.1	Optum acknowledges and will comply with this requirement.	Project Monitoring
T19.10	Data (Logical and Physical Models) and Data Management	Y	A	3/19/2013	Attachment G1, Section 4.1.1	The model will be provided from other projects for example purposes because the design for the Logical and resulting Physical Model will be determined by the user requirements and source system information that is obtained during Phase II.	Project Monitoring
T19.11	Privacy and Security (Network, Data, System, Services, End-user)	Y	A	3/19/2013	Attachment G1, Section 4.1.1	Optum acknowledges and will comply with this requirement.	Project Monitoring
T19.12	Infrastructure (Systems and Services) Support (Components, Assumptions)	Y	A	3/19/2013	Attachment G1, Section 4.1.1	Optum acknowledges and will comply with this requirement.	Project Monitoring
T19.13	Rules Engine (Repository, Editor, Reporting, Configuration Manual)	Y	A	3/19/2013	Attachment G1, Section 4.1.1	Optum acknowledges and will comply with this requirement.	Project Monitoring
T19.14	Business Processes (Inventory, Business Rules, Controls, Evidence of Controls)	Y	A	3/19/2013	Attachment G1, Section 4.1.1	Optum acknowledges and will comply with this requirement.	Project Monitoring
T19.15	Documentation (Technical, Business, Operations, Support, Training)	Y	A	3/19/2013	Attachment G1, Section 4.1.1	Optum acknowledges and will comply with this requirement.	Project Monitoring
T19.16	Desktop / Browser Specifications	Y	A	3/19/2013	Attachment G1, Section 4.1.1	Optum acknowledges and will comply with this requirement.	Project Monitoring
T19.17	Definition of Terms / Glossary	Y	A	3/19/2013	Attachment G1, Section 4.1.1	Optum acknowledges and will comply with this requirement.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T19.18	Crosswalk to Documentation (Order and Index of Contents)	Y	A	3/19/2013	Attachment G1, Section 4.1.1	Optum acknowledges and will comply with this requirement.	Project Monitoring
T20.1	Comply with the State of Arkansas's Technical Standards and Guidelines.	Y	A	3/19/2013	Attachment G1, Section 4.1.1.1	We will comply with the standards provided in the State of Arkansas Technical Standards and Guidelines document provided in the RFP Respondent Reference Library.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T20.5	Provide a narrative of the problem-solving and decision-making approach for resolving technical, operational, and support objectives while engineering of the Project Components.	Y	A	3/19/2013	Attachment G1, Section 4.1.1.1	<p>During DDI problems and issues may arise as the Project Components are constructed and integrated specifically to satisfy AME DSS requirements. Some of the issues and problems can be resolved with little, if any impact on the overall solution while others may require a significant amount of alternatives and impact analyses. Resolution of some issues and problems will have no impact or dependencies on other solution elements, while others may have significant impacts or dependencies. Optum employs a process that resolves Project Component DDI technical, support and operations issues and problems at the lowest level possible yet ensures broad comprehensive review to confirm compliance with requirements, standards and SLAs. At the lowest level, the issue or problem is recorded in the issue log when recognized and the core AME DSS team responsible (e.g., Extraction, Transformation, and Load (ETL) team, data modeling team or interfaces team) tries to resolve the issue internally without impacting objectives. If the core AME DSS team is unable to resolve the issue it is escalated to the joint technical team that consists of team leads from each major development area. If that team is unable to resolve the issue it is escalated to the project change control process for prioritization and assignment to an appropriate integrated team to resolve. In order to ensure compliance of any issue resolution, additional reviews are</p>	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
						<p>resolution, additional reviews are necessary. Each issue is logged when it is detected and updated with resolution information as it is addressed. Three different groups review these logged issues and resolutions on a weekly basis to confirm system-wide acceptability. The RTM group reconciles issues to the RTM to tie the resolution to any affected requirement(s) and to confirm there are no requirements adversely impacted. The Performance Measurement team reviews issue resolutions to identify items that could have SLA or KPI impact; such items are marked for subsequent testing or review. The documentation team reviews issue resolutions to identify those that impact system technical or user documentation.</p>	

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T20.6	Provide a narrative of the tools and techniques prescribed by the Contractor to assure completeness and coverage of the RTM during the engineering.	Y	A	3/19/2013	Attachment G1, Section 4.1.1.1	<p>Optum will effectively manage the AME DSS project's requirements using DevSuite products by TechExcel. All project requirements will be loaded initially and tracked throughout the project with DevSuite. The DevSpec application provides requirements organization, reporting and full traceability. DevSpec includes a change management system that makes certain that changes to requirements and specifications are accomplished in a controlled manner and Stakeholders have visibility into "who changed what and when" and to previous versions of requirements and specifications.</p> <p>Optum supplements the DevSpec tool with a change request tracking and approval system that begins with a project change request (PCR) that describes the proposed change and business justification which is then routed through Optum for cost, resource and impact assessments, then to the change control board for approval/prioritization and finally back to Optum for DDI. The change order tracking/approval process is automated using the DevTrack tool</p> <p>Approved change requests that also require a Task Order are passed to the Task Order processing described in the response to Identifier T11.10 and have a change request status reflecting the task order assigned and it's status.</p>	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T20.7	Identify the technical, operational and performance risks and challenges when engineering to interfacing with the State's existing infrastructure and assets (computer-to-computer, system-to-system, intra- and inter-domain databases, or health information and insurance exchange protocols).	Y	A	3/19/2013	Attachment G1, Section 4.1.1.1	Optum has provided an initial analysis of potential technical, operational, and performance risks associated with interfacing with the State's existing infrastructure and assets in the SEMP. Our draft SEMP is provided as Attachment E of this proposal. Optum is very experienced in working with State technology staff to engineer connections with State networks and infrastructure, and have successfully completed this activity in multiple locations.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
T20.8	Provide a diagram and narrative of the business areas technical interfaces and interoperability to be engineered for use of the Project Components and any specialized configurations and their purpose (physical or logical).	Y	A	3/19/2013	Attachment G1, Section 4.1.1.1	The draft version of the SEMP includes a diagram of the technical interfaces and interoperability for the AME DSS. Our draft SEMP is provided as Attachment E of this proposal. This diagram and narrative will be further refined during Phase I.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T20.9	Define the approach to sequencing the order of interfaces and the plans for interacting with the State's trading partners under the following scenarios: 1. X12 Transaction Partners 2. Switch vendors 3. Clearinghouses 4. Web portal services or Enterprise Services (ESB) 5. National Plan and Provider Enumeration System (NPPES) 6. Credentialing Organizations 7. Medicare 8. CMS 9. Arkansas Eligibility Verification and Claims System (AEVCS) Legacy System 10. Current legacy applications 11. Other	Y	A	3/19/2013	Attachment G1, Section 4.1.1.1	Optum acknowledges and will comply with this requirement.	Project Monitoring
T20.10	Provide diagrams and descriptive narratives of the Contractor's approach to engineering for optimal data services or data management. Provide assumptions for legacy interfaces, applications, or trading partner exchanges. Include federal and State and local registries. Provide expectations of the data cleansing, conversions rules and migration procedures required to population or initialize the Data Center Computing Environments or the peripherals in the Operations (business services) facilities.	Y	A	3/19/2013	Attachment G1, Section 4.1.1.1	The draft version of the SEMP includes a discussion of the initial approach to data management, including interfaces, applications that will be used, conversion rules, and data cleansing. Our draft SEMP is provided as Attachment E of this proposal. This approach will be further refined during Phase I.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T20.11	Provide the Project Components' inventory (data dictionary) of new data definitions; conceptual, logical, physical model diagrams.	Y	A	3/19/2013	Attachment G1, Section 4.1.1.1	<p>This information will be developed during the Phase I and Phase II of the AME DSS project. We will conduct user requirements analysis meetings to gather the Department's input for the design of the AME DSS data model. The data dictionary, conceptual, logical, and physical model diagrams for the AME DSS will then be developed and updated in the SEMP as they are completed.</p> <p>The data dictionary, data definitions, and meta-data library will incorporated as part of the AME DSS solution. Optum will utilize Informatica Metadata Manager to provide the Managed Metadata Environment to the AME DSS. Informatica Metadata Manager is a Web-based metadata management tool that can be used to browse and analyze metadata from disparate metadata sources. Using its Metadata Exchange option, it will capture and automatically synchronize metadata quickly and easily from a wide variety of data sources including data mappings, ETL tools and processes, data modeling tools, relational database data dictionaries, catalogs, data quality tools, reporting/query tools, and data extraction tools.</p>	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T21.1	Provide the testing methodology for use by the Contractor to accommodate a comprehensive coverage of the many types of testing (e.g., system, regression, integration, parallel, production). 1. Definition of the testing environments 2. Categories of testing and testing objectives 3. Definition of test deliverables and artifacts 4. Definition of test reviews and objectives 5. Definition of testing roles and responsibilities 6. Definition of testing preparations, tools, and techniques 7. Definition of test automation tools 8. Definition of producing test data, test scenarios, use cases 9. Definition of test results repository and status reporting	Y	A	3/19/2013	Attachment G1, Section 4.1.1.2	The TEMP will provide the testing methodologies that will be used and the definitions indicated in the requirement.	Project Monitoring
T21.3	Testing Dependencies – A plan detailing the Stakeholders’ predecessor and successor activities and deliverables, including assumptions which are determined by the Contractor to be critical to the TEMP for the Project’s success.	Y	A	3/19/2013	Attachment G1, Section 4.1.1.2	The TEMP will define the testing dependencies between the tasks, phases, and milestones of the testing process, including any assumption critical to the success of the AME DSS testing process.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T21.4	Testing Training – A plan detailing the Stakeholder training for application in the test framework using the Contractor’s methodical approach and “stepwise” plans that includes standard terminology, definitions, structures for the test tracking tools and reporting techniques, methods and procedures, roles and responsibilities and assumptions.	Y	A	3/19/2013	Attachment G1, Section 4.1.1.2	Optum’s Training Plan will include planning for testing training that will be referenced in the TEMP. This training will include all topics listed in the requirement.	Project Monitoring
T21.5	Test Releases – A methodical approach and “stepwise” plan for the management and packaging of testing cycles in terms of releases, versions, upgrades, patches, and others modular software adaptations (custom), third party products and interfaces, hardware and network interfaces configurations.	Y	A	3/19/2013	Attachment G1, Section 4.1.1.2	The TEMP will use our Release Management Plan and Configuration Management Plan to provide the methodical approach and stepwise plans for packing test cycles to accommodate releases, versions upgrades, patches and other COTS software adaptations and configuration items, interfaces, and hardware and network interface configurations.	Project Monitoring
T21.6	Adopt the CMMI level 2 or ISO/International Electro-technical Commission (IEC) 12207:2008 standards for documentation of test results on all test cases, use cases, and modeled scenarios for every testing environment or category of tests.	Y	A	3/19/2013	Attachment G1, Section 4.1.1.2	Optum utilizes a managed approach to documentation of test results on all test cases, use cases, and modeled scenarios for categories of tests, as defined in our test plan and in the TEMP. We also utilize the process areas that conform to CMMI Level 2.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T21.7	Provide guidelines for testing new and existing business applications on new and existing infrastructure.	Y	A	3/19/2013	Attachment G1, Section 4.1.1.2	The Optum AME DSS solution consists of COTS products that are designed to operate on a variety of infrastructure platforms, and our AME DSS solution utilizes a hardware platform that we have used successfully in other States, including Washington and New Jersey. Our TEMP will provide guidelines for testing all applications on the infrastructure that will be used for the AME DSS.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
T21.8	Provide, deliverable reviews, roles and responsibilities, and support tools for business application and information and technology infrastructure testing functions to facilitate efficient, responsive, and secure use and operation of the same.	Y	A	3/19/2013	Attachment G1, Section 4.1.1.2	Optum will include in the TEMP the definitions of the deliverables, reviews to be conducted, roles and responsibilities, and details on the DevTest application that will be used for the application and technology infrastructure testing functions. The testing processes will emphasize providing DHS an efficient, responsive, and secure AME DSS solution.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T21.9	Reduce organizational risk, facilitate better Stakeholder resource forecasts, improve testing schedules, and lower the incidence of reactive break / fix episodes.	Y	A	3/19/2013	Attachment G1, Section 4.1.1.2	<p>The TEMP that Optum will deliver will draw upon our experience in delivering data warehouse and decision support systems for several states, equivalent or larger in size and scope to Arkansas. Our testing processes have been refined over many years, and our TEMP plan will be designed to use that experience to:</p> <ul style="list-style-type: none"> • reduce risk, • clearly define Stakeholder roles, responsibilities, and risk, • deliver streamlined testing schedules and • deliver proactive test scenarios, cases and scripts to avoid reactive break/fix episodes. 	Project Monitoring
T21.10	Identify the order by which the selected testing functions are to be performed during the Project life cycle, identify if some testing functions are to be combined for testing efficiencies.	Y	A	3/19/2013	Attachment G1, Section 4.1.1.2	<p>Optum will effectively manage the AME DSS project's requirements, test cycles (including cases and results) and defects using the DevSuite suite of products by TechExcel. DevSuite is positively rated by Gartner and is used by market leading firms such as Electronic Arts, Sony and Activision. All the modular products within DevSuite are Web-based and allow complete traceability of requirements as they move through development, testing and to final deployment within the AME DSS Solution. For more details on the Optum testing procedures in the Environmental Requirements, please see Proposal Attachment G2, Section 2.2.</p>	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T21.11	Provide the overall testing activities that must be appropriately documented in a Test Plan(s), along with a detailed description of each of the planned tests.	Y	A	3/19/2013	Attachment G1, Section 4.1.1.2	The TEMP will provide a Test Plan document covering each phase of testing for the AME DSS, including detailed descriptions of the phase being conducted, the test scenarios, cases, and scripts to be used to validate the operation of all aspects of the AME DSS.	Project Monitoring
T21.12	From an architecture perspective, provide a test plan for the application of services in a Service Oriented Architecture (SOA) and the testing of the scenarios of how the service is used by the business application.	Y	A	3/19/2013	Attachment G1, Section 4.1.1.2	The DevSuite testing management software provides the ability to setup test cases according to user specifications including scenarios to test SOA services and how the service is used by the business application.	Project Monitoring
T21.13	Provide test cases for all configurable components including third-party software, interoperable data exchanges, business logic, electronic data interfaces (EDI), and their test data preparations.	Y	A	3/19/2013	Attachment G1, Section 4.1.1.2	DevTest will provide the State and Optum staff with a complete test case creation, planning, team management and execution tool. Some features of DevTest are: <ul style="list-style-type: none"> • Comprehensive test coverage management • Wizard-driven test scheduling and assignment • Automated testing tool integration • Sophisticated workflow management contained in an easy-to-use GUI interface that allows for automatic notification, escalation and re-assignment of tasks 	Project Monitoring
T21.14	Provide for tests of the Shared Services defined herein this RFP and as much as possible, reuse of test plans, test cases, test scripts, and test data should be considered using automated testing tools where applicable.	Y	A	3/19/2013	Attachment G1, Section 4.1.1.2	The TEMP will provide details on DevTest, the Web-based COTS automated testing tool that Optum will use for the AME DSS project. This software provides the ability to easily reuse test plans, cases, and scripts where applicable providing consistent and efficient testing processes.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T21.15	Provide for every type of processing cycle (daily, weekly, bi-weekly, monthly, quarterly, annually, year-end, financials, special runs).	Y	A	3/19/2013	Attachment G1, Section 4.1.1.2	The TEMP will include test scenarios to exercise all testing cycles processing cycles that will be performed by the AME DSS, including daily, weekly, bi-weekly, monthly, quarterly, annually, year-end, financials, and special runs.	Project Monitoring
T21.16	Provide for the data refresh capability of every testing environment(s) and achieve a clean (error-free) and adequate testing cycle, online and batch, for all test categories.	Y	A	3/19/2013	Attachment G1, Section 4.1.1.2	The TEMP will define the procedures to maintain testing datasets that can be reused to provide a data refresh capability in every testing environment. The use of DevSuite in conjunction with computing environments such as Preproduction and Model Office can be used to replicate the Production Reporting Environment for testing of new capabilities not yet in production.	Project Monitoring
T21.17	Provide for the test environment rollbacks (for new releases, versions, upgrades, and critical fixes) in the UAT and Final Acceptance Test environments.	Y	A	3/19/2013	Attachment G1, Section 4.1.1.2	The TEMP will use the procedures defined in the Configuration Management Plan to accommodate environment rollbacks for new releases, versions, upgrades, and critical fixes in the UAT and Final Acceptance Test environments. Optum will utilize the BMC Configuration Manager software to control configuration changes to the Computing Environments, and Perforce software version management software to maintain versions of software code. These products will provide the ability to easily rollback changes to any computing environment.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T21.18	Define the process for definition, build, capture, and report of all RTM test cases and test case data supporting use cases and modeling scenarios specific to the objectives of each category of testing.	Y	A	3/19/2013	Attachment G1, Section 4.1.1.2	The TEMP will include the processes performed with the DevTest testing software to define, build, capture, and report on all test cases to validate the successful completion of all items in RTM.	Project Monitoring
T21.19	Provide for a capture and search tool capability that cross-references the test logic/edits by scenario or use cases including defects and defect resolutions.	Y	A	3/19/2013	Attachment G1, Section 4.1.1.2	The TEMP will provide details on the search capabilities of the DevTest software to cross reference test logic and edits by scenario. It will also include details on the information stored in DevTest to cross reference the scenarios and test cases to any defects identified during testing, re-testing of corrections, and final defect resolution.	Project Monitoring
T21.20	Support the ability to create "what-if" scenarios in all testing environments and compare results between scenarios in all testing environments.	Y	A	3/19/2013	Attachment G1, Section 4.1.1.2	The TEMP will include information on each test environment, such as the data that will be included and configuration. Each test environment will provide the ability to create "what-if" scenarios and provide the ability to compare results between each as needed. The use of DevSuite in conjunction with computing environments such as Preproduction and Model Office can be used to replicate the Production Reporting Environment for testing of new capabilities not yet in production.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T21.21	Support the single sign-on (SSO) infrastructure capability and demonstrate, validate, and report the accuracy of "role-based security with permissions." Participate in HIPAA specific testing objectives and resolution of issues/errors.	Y	A	3/19/2013	Attachment G1, Section 4.1.1.2	The TEMP will include scenarios for testing the single sign-on capability. Security testing scenarios will also be included to demonstrate appropriate access is provided for each user role, as well as specification of permissions for individual users. The TEMP will also include scenarios to validate the requirements from the Security and Privacy Plan, including HIPAA compliance.	Project Monitoring
T21.22	Document all RTM testing assumption, issues, action items, including strategies to manage execution and quality risks.	Y	A	3/19/2013	Attachment G1, Section 4.1.1.2	The TEMP will include procedures for performing and managing testing processes. These procedures include details on the proper execution of testing, procedures for reviewing actual results against expected results, documentation of any defects, managing the correction of defects, retesting of defect corrections, and documentation of final resolution to ensure quality risks are being properly mitigated.	Project Monitoring
T21.23	Document all Project "requests for change" related to execution of the SEMP and TEMP plans during testing.	Y	A	3/19/2013	Attachment G1, Section 4.1.1.2	The Change Management Plan will be the controlling document regarding project management procedures to accommodate approved change requests that require invoking the SEMP or TEMP.	Project Monitoring
T21.24	Provide changes to the WBS baseline and assumptions to accommodate approved "requests for change."	Y	A	3/19/2013	Attachment G1, Section 4.1.1.2	The TEMP will include details on the integration with the AME DSS project Change Management Plan. The Change Management Plan will be the controlling document regarding the project management procedures to accommodate any testing of changes in the testing WBS baseline as well as assumptions to accommodate approved change requests.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T21.25	Support the use of testing tools and electronic utilities to be deployed as part of the testing methodology in each category of test.	Y	A	3/19/2013	Attachment G1, Section 4.1.1.2	The TEMP will provide details on the use of the DevTest testing software that will be used for the AME DSS testing processes. For more details on the Optum testing procedures in the Environmental Requirements, please see Proposal Attachment G2, Section 2.2.	Project Monitoring
T21.26	Support online inquiry and update access to all test data, test cases, and use case scenarios in the testing tools.	Y	A	3/19/2013	Attachment G1, Section 4.1.1.2	The TEMP will provide details on Optum's use of the DevTest testing software to perform online inquiry and updates to test data, test cases, and test scenarios.	Project Monitoring
T21.27	Support test and test results validation procedures of the Production environment throughout the Contract Period.	Y	A	3/19/2013	Attachment G1, Section 4.1.1.2	The TEMP will provide details on supporting on-going procedures for testing and validation of maintenance and enhancements to the AME DSS, including when change requests are implemented in the Production Reporting environment. The use of DevSuite in conjunction with computing environments such as Preproduction and Model Office can be used to replicate the Production Reporting Environment for testing of new capabilities not yet in production.	Project Monitoring
T21.28	Adopt the CMMI level 2 or ISO/International Electrotechnical Commission (IEC) 12207:2008 standards for documentation of test results on all test cases, use cases, and modeled scenarios for every category of test (1, 2, 3, and 4).	Y	A	3/19/2013	Attachment G1, Section 4.1.1.2	Optum utilizes a managed approach to the documentation of test results on all test cases, use cases, and modeled scenarios for categories of tests, as defined in our test plan and in the TEMP. We also utilize the process areas that conform to CMMI Level 2.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T21.29	Provide for testing version control procedures to facilitate testing and defect tracking.	Y	A	3/19/2013	Attachment G1, Section 4.1.1.2	The TEMP will utilize the procedures defined in the Configuration Management Plan to accommodate version control procedures for testing and defect tracking. Optum will utilize the BMC Configuration Manager software to control configuration changes to the Computing Environments, and Perforce software version management software to maintain versions of software code.	Project Monitoring
T21.30	Provide an optimal test of the computing environments for performance tuning to establish baseline sizing and define benchmarks to size for future growth requirements, include capacity planning and utilization activities.	Y	A	3/19/2013	Attachment G1, Section 4.1.1.2	The TEMP will include the procedures for the Operational Readiness and Final Acceptance Test phases of the project. During these phases, Optum will perform the performance tuning of the AME DSS solution to ensure it complies with service level agreement requirements for response time and query performance. Benchmarking will also be performed during these testing phases to support future growth requirements such as capacity planning and utilization.	Project Monitoring
T21.31	Provide for activities in the converted data validation prior to testing.	Y	A	3/19/2013	Attachment G1, Section 4.1.1.2	The TEMP will include details on the approach to validation of the conversion processes. Converted data will be available in computing environments for any needed activities prior to testing. These activities will be carefully controlled so that converted data that haven't undergone testing processes are not inadvertently made available for other purposes.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T22.1	Category 1: Staging – The Contractor’s initial deployment of the Project Components software and testing on the technical infrastructure provided (data center options) hardware or platform configurations verifying the ability to monitor and control network and equipment via the software’s configured designs. To incorporate all Contractor Project Component software upgrades, enhancements and arrival of all current technical and operations support documentation.	Y	A	3/19/2013	Attachment G1, Section 4.1.1.3	Upon completion of the Technical Infrastructure deployment, Optum will meet with the State to demonstrate the Staging of the components of the AME DSS.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum’s TEMP.
T22.2	Category 2: Systems – The Contractor’s testing focused on the introduction of additional modules as interrelated functionality to provide a seamless systems computing configuration across the Project Components.	Y	A	3/19/2013	Attachment G1, Section 4.1.1.3	The objective of Systems testing is to validate that the system as a whole functions as designed. The System test verifies that the various system subcomponents of AME DSS communicate effectively within the integrated system and verifies that the AME DSS meets the functional requirements established for the system. The detailed test cases for systems testing include specifics such as navigation, the required input for each report/query/process, and the expected result of the transaction. This testing is more formal than a unit test; the Systems testing requires a system test approach, problem reports, and DHS sign off for successful completion of the test.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum’s TEMP.

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T22.3	Category 3: End-to-End Integration Testing – The Contractor’s (primarily technical) focus on the technical infrastructure’s relationship with all the Project Components successful execution within the computing environment.	Y	A	3/19/2013	Attachment G1, Section 4.1.1.3	Optum acknowledges and will comply with this requirement. The objective of End-to-End Integration testing is to validate that the AME DSS Project Components including data transfer from the MMIS, data loading, data validation, balancing, report scheduling and execution, and integration with other components such as external entities where applicable are operating successfully.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum’s TEMP.
T22.4	Category 4: User Acceptance Testing (minimum of 180 calendar days) – The Contractor’s (primarily business or end-user) focus on the operational features and functionality of the Project Components, including workarounds.	Y	A	3/19/2013	Attachment G1, Section 4.1.1.3	This testing is performed by the State users as the final acceptance before the system goes live in Phase III. The UAT process includes the establishment of criteria for the formal acceptance of the AME DSS. The State will define the tests that the AME DSS must meet in order for the system development to be considered complete -- and the State will execute such acceptance tests with the support of Optum.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum’s TEMP.

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T22.5	Category 5: Parallel Testing (optional) – The Contractor’s comparative analysis of the Project Components processing cycles outputs with the legacy systems’ production cycle’s output. A comparison of expected outcomes with actual outcomes to determine parity or equality in the results. Expected and actual results may vary intentionally.	Y	A	3/19/2013	Attachment G1, Section 4.1.1.3	Optum will perform data consistency checking and reconciliation of the data warehouse with the source data during the ETL process with balancing queries and reports developed during the Phase II in lieu of parallel testing. This testing is designed to measure data quality and the accuracy of the ETL process. Checks will also be performed to test the data’s format, type, and conformity of values to the range constraints or enumerated allowable values, as well as consistency with other related data. Optum develops our balancing and validation reports based on our experiences in implementing similar systems for multiple clients. Our experiences, coupled with our proposed industry-leading Informatica’s ETL tools, will enable us to conduct data validation at every step of the ETL process resulting in the highest consistency of data across the AME DSS.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum’s TEMP.

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T22.6	Category 6: Final Acceptance Testing (minimum of 30 calendar days) – The Contractor’s spot-check for a production-ready operating environment validating mission critical systems and services functionality and results, and access by authorized users in operations across the State.	Y	A	3/19/2013	Attachment G1, Section 4.1.1.3	Optum will perform Final Acceptance Testing prior to the start of the Phase III of the project, during Operational Readiness Testing. Testing for this phase will use the processing region that will become the Production Region when the project enters the Phase III. The Final Test also validates performance while under higher loads and larger volumes of data. This testing will verify the ability of the system to support user query transaction load and information volume. With this testing, Optum measures and evaluates response times of the AME DSS in order to verify that performance requirements have been achieved. During Final Acceptance Testing, Optum will treat all activity surrounding these activities as if the system were in Production. As such, end users will do the same, using the Service Desk for any questions or required assistance. During this time, data warehouse updates and refreshes will occur and Disaster Recovery and Volume testing will be conducted.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum’s TEMP.
T23.1	Infrastructure Assets Inventory: Bill of Materials (BOM)	Y	A	3/19/2013	Attachment G1, Section 4.1.2.1	Optum acknowledges and will comply with this requirement.	Project Monitoring
T23.2	Technical Infrastructure Plan	Y	A	3/19/2013	Attachment G1, Section 4.1.2.1	Optum acknowledges and will comply with this requirement.	Project Monitoring
T23.3	Configuration Management Plan	Y	A	3/19/2013	Attachment G1, Section 4.1.2.1	Optum acknowledges and will comply with this requirement.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T23.4	Release Management Plan	Y	A	3/19/2013	Attachment G1, Section 4.1.2.1	Optum acknowledges and will comply with this requirement.	Project Monitoring
T23.5	Security and Privacy Plan	Y	A	3/19/2013	Attachment G1, Section 4.1.2.1	Optum acknowledges and will comply with this requirement.	Project Monitoring
T23.6	Network Design and Management Plan	Y	A	3/19/2013	Attachment G1, Section 4.1.2.1	Optum acknowledges and will comply with this requirement.	Project Monitoring
T23.7	Disaster Recovery and Business Continuity and Contingency Plan (DR-BCCP)	Y	A	3/19/2013	Attachment G1, Section 4.1.2.1	Optum acknowledges and will comply with this requirement.	Project Monitoring
T23.8	Systems and Services Implementation Plan (Data Center Options)	Y	A	3/19/2013	Attachment G1, Section 4.1.2.1	Optum acknowledges and will comply with this requirement.	Project Monitoring
T23.9	Shared Services Implementation Plan (Data Center Options)	Y	A	3/19/2013	Attachment G1, Section 4.1.2.1	Optum acknowledges and will comply with this requirement.	Project Monitoring
T23.10	Federal (CMS) MECT Certification Criteria Plan (updated)	Y	A	3/19/2013	Attachment G1, Section 4.1.2.1	Optum acknowledges and will comply with this requirement.	Project Monitoring
T24.1	Identification of configuration items to be included in the Configuration Management Data Base (CMDB).	Y	A	3/19/2013	Attachment G1, Section 4.1.2.2	The Configuration Management Data Base will include the identification of configuration items. Optum will utilize the BMC Footprints Configuration Manager software product to create and maintain a Configuration Management Data Base. With FootPrints' deep integration of the configuration management database (CMDB) with Asset Management, commonly referred to in ITIL@v3 as Service Asset and Configuration Management, Optum can analyze and navigate Configuration Item (CI) relationships to maintain maximum availability of systems, applications and services.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T24.2	Control of data to ensure that it can only be changed by authorized individuals.	Y	A	3/19/2013	Attachment G1, Section 4.1.2.2	Only authorized individuals will be given log-on credentials and access to the BMC Footprint Configuration Manager software.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
T24.3	Status maintenance, which involves ensuring that current status of any CI is consistently recorded and kept updated.	Y	A	3/19/2013	Attachment G1, Section 4.1.2.2	Our Configuration Management Plan will define processes to track each CI in coordination with our change management processes. The implementation of a change to any CI will require that item to be updated in the BMC Footprints Configuration Manager CMDB.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
T24.4	Verification, through audits and reviews of the data to ensure that it is accurate.	Y	A	3/19/2013	Attachment G1, Section 4.1.2.2	The BMC Footprints Configuration Manager software automates validation of CI data and reconciliation. We will perform audits and reviews to verify the data collected in the CMDB is accurate.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
T25.1	Identification of the release packaging, the contents: modifications and enhancements and regular maintenance components within the release.	Y	A	3/19/2013	Attachment G1, Section 4.1.2.3	Optum acknowledges and will comply with this requirement.	Project Monitoring
T25.2	Justification for the release packaging grouping or contents: why the grouping represents a sound business decision, optimal advantage.	Y	A	3/19/2013	Attachment G1, Section 4.1.2.3	Optum acknowledges and will comply with this requirement.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T25.3	Identification of changes to tables and rules engine, with an explanation of the system changes effected by the change.	Y	A	3/19/2013	Attachment G1, Section 4.1.2.3	Optum acknowledges and will comply with this requirement.	Project Monitoring
T25.4	Estimates for each release, including effort, cost, staffing summary, and schedule summary.	Y	A	3/19/2013	Attachment G1, Section 4.1.2.3	Optum acknowledges and will comply with this requirement.	Project Monitoring
T25.5	Identification of applicable processes and activities for each release that meet the requirements for System Development, Testing, and Implementation.	Y	A	3/19/2013	Attachment G1, Section 4.1.2.3	Optum acknowledges and will comply with this requirement.	Project Monitoring
T25.6	Identification of applicable deliverables for each release that meet the requirements of System Development, Testing, and Implementation.	Y	A	3/19/2013	Attachment G1, Section 4.1.2.3	Optum acknowledges and will comply with this requirement.	Project Monitoring
T25.7	In the Release Management Plan, Contractor shall identify any expected major activities to be completed and the resources required (e.g., Contractor, State and County staff).	Y	A	3/19/2013	Attachment G1, Section 4.1.2.3	Optum acknowledges and will comply with this requirement.	Project Monitoring
T25.8	The process for releases shall include both quarterly and monthly releases, the exact date of which shall be adjustable to facilitate special processing and holidays. Quarterly releases shall include major and moderate system changes. Monthly releases shall include only minor changes. Major and minor changes are further defined below:	Y	A	3/19/2013	Attachment G1, Section 4.1.2.3	Optum acknowledges and will comply with this requirement.	Project Monitoring
T25.9	A major change reflects a significant change in State business requirements (e.g., new legislation or State policy change).	Y	A	3/19/2013	Attachment G1, Section 4.1.2.3	Optum acknowledges and will comply with this requirement.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T25.10	Minor changes can be a modification to provide minor problem resolution or improvements to procedures such that the changes do not require updates to user documentation, training, data conversion, or Logical Design Document (LDD) modification.	Y	A	3/19/2013	Attachment G1, Section 4.1.2.3	Optum acknowledges and will comply with this requirement.	Project Monitoring
T25.11	In addition, the Contractor shall execute "emergency" updates to the system as an "exception release" outside of the scheduled releases if approved in writing by the Contract Administrator. Exception releases are to correct defects that have a Priority 1 impact to the program and cannot wait until the next scheduled release. The Contractor's release recommendation shall identify any system defects to be corrected in a maintenance release, and include the hours estimated and impact analysis of correcting the system defects.	Y	A	3/19/2013	Attachment G1, Section 4.1.2.3	Optum acknowledges and will comply with this requirement.	Project Monitoring
T26.1	Establish security standards for the System and Services consistent with federal and State security requirements provided in the Resource Library.	Y	A	3/19/2013	Attachment G1, Section 4.1.2.4	Optum proposes an on-line centralized security and access management process which follows 45 CFR Parts 160 and 164 Subparts A and E as both requirements for PHI and guidelines for other personal information in the AME DSS. Optum's Security and Privacy Plan will also comply with Arkansas Data and Security Classification Document SS-70-001, National Institute of Standards and Technology Special Publication 800-53, revision 3, as updated May 1, 2010; and applicable requirements under the Office of the National Coordinator certification criteria for electronic health record technology.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T26.2	Obtain Security and Privacy Plan input from the State and its Stakeholders to ensure completeness and coverage, including network topology to uncover possible break-points or potentially negative impacts to the Security and Privacy Plan objectives.	Y	A	3/19/2013	Attachment G1, Section 4.1.2.4	Optum's will work closely with the State and its Stakeholders, including the Core Contractor, to thoroughly review the Security and Privacy Plan for completeness and coverage.	Project Monitoring
T26.3	Obtain Security and Privacy Plan input from the State and its Stakeholders with respect to the State's Data Center, Project Facilities and Workspace, State-designed Agencies, Offices, and County Operations, and operations such as Disaster Recovery services.	Y	A	3/19/2013	Attachment G1, Section 4.1.2.4	Optum is highly experienced in working directly with State data centers in hosting and integrating network and hardware solutions. We also are very familiar with established on-site project facilities, and working directly with State agencies and county offices.	Project Monitoring
T26.4	Conduct a Security and Privacy Plan risk analysis to identify System security policies, procedures, and controls (e.g., administrative, physical, and technical (i.e., identity management)).	Y	A	3/19/2013	Attachment G1, Section 4.1.2.4	Optum's Security and Privacy Plan will include the details on the risk analysis that will be performed by Optum's network and security staff, including but not limited to data center and office physical site security, administrative controls and other internal controls for policy compliance including HIPAA, PHI awareness, unauthorized usage, and identity management.	Project Monitoring
T26.5	Establish Security and Privacy monitoring criteria, thresholds, benchmarks, and alerts with respect to an operationalized Systems and Services environment. Report regularly as scheduled or as defined by the State and the Contractor.	Y	A	3/19/2013	Attachment G1, Section 4.1.2.4	Due to the significant risk of internal and external intrusion from unauthorized persons, intrusion detection systems shall be implemented and maintained by Optum's data center staff. We will monitor the security of the AME DSS as a part of implementation and on-going operations using agreed-upon thresholds and benchmarks. We will report any anomalies to the State contract manager and other required contacts.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T26.6	Establish Security and Privacy Plan audits, institute best-practice processes that ensure that security and privacy measures address all federal and State policies, procedures, reporting and compliance training.	Y	A	3/19/2013	Attachment G1, Section 4.1.2.4	Optum's Security and Privacy Plan will provide details on the training required for all users of the AME DSS. We will conduct security and privacy training as part of all user training sessions and will make available on-line materials for interim training. Training will focus on the underlying principles, laws, and regulations, as well as the security requirements and features of the AME DSS. We will keep a record of all persons accessing the system and cross reference it to training logs to validate that all users receive security training.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T26.7	Establish Security and Privacy Plan governance structures designed to assess the audits, and make recommendations to improve the Security and Privacy Plan obligations. Review unauthorized and authorized incidents, breaches, and effectiveness and adaptability of the process and procedural improvements.	Y	A	3/19/2013	Attachment G1, Section 4.1.2.4	<p>Optum has worked with customers to develop governance and security that uses these best practices and accounts for all the requirements of this RFP. For example, in Michigan, access to data is through an on-line permission and approval process that requires designated owners of each data set to approve access. The access process specifies data allowed to be used, timeframes for allowed use, and business purpose. The security system prevents users from accessing data they do not have authorization to access. In addition to managing privacy through this security and permissions process, the Optum Michigan database solution tracks all use on the enterprise warehouse including queries and data accessed by user. We propose doing that for Arkansas as well. This allows the State and Optum to conduct regular privacy compliance audits.</p> <p>Optum reviews best practices for Security and Privacy at the corporate level and applies them to all operations. We share best practices across other data warehouse and decision support system operations to ensure we are continually improving our security and privacy practices.</p>	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T26.8	Establish guidelines for the possible vulnerability of breach, and stipulate conditions requiring assessment by an independent 3rd party, including the Security and Privacy Plan.	Y	A	3/19/2013	Attachment G1, Section 4.1.2.4	Optum data center staff are responsible for designing, establishing, and maintaining network architecture with the appropriate level of administrative and technical security controls. A layered architecture design is used as a form of defense to isolate external attacks and the overall damage to the network environment. The Security and Privacy plan will stipulate conditions requiring assessment in the event a breach is suspected or identified by Intrusion Detection Systems.	Project Monitoring
T26.9	Provide the security and privacy concerns of the technical infrastructure, the computing environments, and all the Systems and Services authorized users, including exchange data services partners or trading-partners rights to data security, data privacy and data confidentiality.	Y	A	3/19/2013	Attachment G1, Section 4.1.2.4	Our proposed AME DSS is a powerful platform that will contain PHI and other sensitive information. In the AME DSS, PHI and other protected information will be linked with virtually all other information on an individual, but in a strictly managed and secure environment. While access to PHI must be safeguarded, it is vital to operation of the Medicaid and other Arkansas health and human services programs. Identified and linked information is important for Arkansas employees, contractors, and oversight agencies in making sure residents get access to services they need, to program efficiency, to preventing fraud and abuse, and to managing contractors. So the challenge for the AME DSS is to have much more information available but manage it to protect privacy of residents.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T26.10	Adhere to all specifications defined herein and do not conflict with the State-defined standards for security and privacy, or with the federal requirements defined as MECT.	Y	A	3/19/2013	Attachment G1, Section 4.1.2.4	Optum acknowledges and will comply with this requirement.	Project Monitoring
T26.11	Provide security and privacy for each computing environment including those used by the State's local agencies and remotely throughout the State as the Department of Country Operations.	Y	A	3/19/2013	Attachment G1, Section 4.1.2.4	A separate network zone will be created that will allow access to computing environments, applications and analytic marts such as Symmetry. Only authorized users with valid credentials that have already passed through multiple firewalls will have access to the applications. In addition to network security, each application will also access limitations that are user-based, role-based, or a combination of both.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T27.1	Provide a network design and configuration taking into account the State's current technology and infrastructure assets including the SOA architecture and planned exchange data services (health information exchange, health insurance exchange, web-services).	Y	A	3/19/2013	Attachment G1, Section 4.1.2.4.1	<p>The network for the AME DSS is designed according to SOA that contains three layers:</p> <ol style="list-style-type: none"> 1. Network infrastructure layer: Contains the enterprise network architecture, which includes switches, routers, communication links, and so on. This layer has redundancy built into it and contains network layer security to enforce policies. 2. Integrated service layer: Virtualizes services (or unties them from specific pieces of hardware) to allow them to be provided over a dispersed or centralized network environment. The following services are provided at this layer: <ul style="list-style-type: none"> – Identity: Authentication services for user or device credentials, which can play a role for network or application access. – Mobility: Allowing access to network resources from any location. This may include on wireless technologies or remote access – Storage: Storage of important network data and replication or duplication of that data, over the network, to remote locations for disaster recovery. This includes the AME DSS data warehouse. – Computing or processing: Servers represent the main element of this component, and utilizes virtual servers to allow for scaling and better utilization of server processing power. – Security: We employ several technologies to ensure the security of the network and 	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
						<p>devices that connect to it. The various technologies offer a defense in depth approach to securing and monitoring the network. Our Security Monitoring Center (SMC) consists of network security personnel who provide 24/7/365 monitoring of the network via industry standard monitoring tools. The SMC monitors a dashboard which has downstream processes which are followed to ensure the integrity of the network from intrusions. Accountable technology owners are alerted based on the classification of the event – Collaboration: Collaboration through Websites, such as Microsoft’s SharePoint and BMC Footprints Incident and Problem Manager</p> <p>3. Application layer: Carries the responsibility for providing the AME DSS applications that users will rely on.</p>	
T27.2	Provide a network modeling capability to verify and assure the network capacity and the demand for capacity (bandwidth) will be met or exceeded in the network design and configuration anticipated in the State’s augmentation or growth estimates, including COLD storage requirements, storage area networks (SANs), business intelligence capture, operational and transaction data capture and storage.	Y	A	3/19/2013	Attachment G1, Section 4.1.2.4.1	Optum will establish an open and effective partnership with the State to discuss connectivity performance, concerns, and issues. Additionally, Optum will review and monitor bandwidth utilization and, using trend models, will add additional bandwidth, as required, throughout the term of the contract.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T27.3	Provide a network design and configuration that addresses multiplatform environments, web-services, mainframe, client-server, and exchange data services and service platforms (health information exchange, health insurance exchange, and the Shared Services) and avoid conflicts causing network latency.	Y	A	3/19/2013	Attachment G1, Section 4.1.2.4.1	All of our currently 11 installed DSS installations address similar environments: multi-platform, Web services, mainframes, client server, service platforms, and exchange data services. Because our DSS network solution is fundamentally a networked data warehouse it fits well into a complex technology environment.	Project Monitoring
T27.4	Provide a network design and configuration that interfaces with the State's 3rd Party services and support for Disaster Recovery – Business Continuity and Contingency Plan (DR-BCCP) events, updating of the procedures and training materials.	Y	A	3/19/2013	Attachment G1, Section 4.1.2.4.1	Our proposed solution provides the same network capabilities at the disaster recovery site as we are proposing for the primary site.	Project Monitoring
T27.5	Provide a network design and configuration that will meet redundancy and failover requirements for interim or temporary technical infrastructure, and will immediately reroute all communications to the appropriate backup site during for failover.	Y	A	3/19/2013	Attachment G1, Section 4.1.2.4.1	We propose a highly redundant network solution from multiple vendors with automated failover for maximum uptime. Optum will have primary and secondary communication paths via separate vendors with the ability to handle production loads on either path. Should any component in the network fail, the redundant features will allow the network to continue operating with little or no impact on the users. For example, should one of the circuits to the State network fail, the redundant circuit will continue to operate and will carry the full network traffic load until the failed circuit is restored.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T27.6	Provide a network design and configuration plan that addresses: <ol style="list-style-type: none"> 1. State network interfaces 2. Network security 3. Network monitoring 4. Network performance and management 5. Network access points 6. Unified communications (video, voice, data, email) 7. Network protocols and standards (mobile, Wi-Fi, landline) 	Y	A	3/19/2013	Attachment G1, Section 4.1.2.4.1	Optum will provide a network design and configuration plan that will include the requirements and additional information including: <ol style="list-style-type: none"> 1. State Network Interfaces - Description of the design of the interface between Optum's data center network and the State's network 2. Network Security - Details on Optum's processes and tools used to provide and maintain data and network security, including the Security Monitoring Center (SMC) 3. Network Monitoring – Information on other network monitoring tools and processes in addition to the SMC 4. Network Performance and Management - Information on Event monitoring, Network monitoring, HTTP monitoring, and Performance monitoring using Hewlett-Packard (HP) OpenView software 5. Network Access Points – Description of each access point and associated security procedures 6. Unified Communications – Optum's design of integrated communication delivery 7. Network Protocols and Standards – Communication standards, channels and protocols for connectivity to the State network 	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T28.1	<p>The Contractor will categorize system outages using the five severity levels, ranging from Level 1 (most severe) to Level 5 (least severe) as guidelines.</p> <ol style="list-style-type: none"> 1. Level 1: Major system disaster where the only action is to move the system applications to the targeted backup sites. 2. Level 2: Major system outage. If the outage remains at this level beyond the time period designated for recovery, the System or any Component will be moved to a targeted host at the alternate site. 3. Level 3: Major application/infrastructure problems. The System or any Component is not working properly or users are prevented from accessing the application. There is a severe impact to the business processes. 4. Level 4: Moderate application/infrastructure problems. One or more System- supported services are experiencing problems that affect the business processes. There is minimum system outage or downtime apparent to users. 5. Level 5: Minor application/infrastructure problems. Users are experiencing minor operational problems. There is no system outage and there is little or no impact on business processes. 	Y	A	3/19/2013	Attachment G1, Section 4.1.2.5	Optum will design the DR-BCCP to in accordance with the five severity levels defined by the State.	

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T28.2	The Contractor will ensure the Technical Infrastructure Plan adequately supports the content and design of the DR-BCCP ensuring the State's technical and operational performance measures and SLAs can be met.	Y	A	3/19/2013	Attachment G1, Section 4.1.2.5	The Technical Infrastructure Plan will provide for a Disaster Recovery (DR) environment that will be established in a remote hot-site data center in LOCATION OF DR SITE. This site is a Tier 3 data center that is owned and operated by OPERATOR OF DR SITE, and will host the DR environment that mirrors the Production environment in all aspects, including but not limited to processing power, disk capacity, access bandwidth, security, and software versions. Should the Primary site become incapacitated and DHS declare a disaster, the environment will be ready and available to run Production-level workloads with current data, within the required recovery window.	Project Monitoring
T28.3	Provide updates to the DR-BCCP methods and procedures, communications and training on a quarterly basis, or as required to remain "evergreen" or current.	Y	A	3/19/2013	Attachment G1, Section 4.1.2.5	The DRP will include details for each aspect of the plan and will identify both DHS and Optum (and its subcontractors, vendors and suppliers) responsibilities. The plan will be continuously maintained and will include updates to communications including a detailed contact and escalation list, methods, procedures, training, and all aspects of the plan. Updates will be provided quarterly or as required. The updates will be provided on a quarterly basis or as required.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T28.4	Make modifications to the DR-BCCP as the technical infrastructure and asset inventory changes or evolves. Include the “spares inventory” to be provided by the OEM or purchasing agent as part of the DR-BCCP severity level response and notifications.	Y	A	3/19/2013	Attachment G1, Section 4.1.2.5	The Configuration Management Plan will include processes to make certain that all components of the DR-BCCP as well as any impact on the DR technical infrastructure are kept synchronized with changes to the Production environment. Optum maintains maintenance and support contracts with high priority response requirements with all hardware vendors to make certain any necessary parts and on-site maintenance is available in the quickest timeframe possible.	Project Monitoring
T28.5	Ensure methods and procedures exist to avoid disruption in service regardless of the level of severity; highest severity levels have published alternative workspace and temporary facilities contacts, communications, and training.	Y	A	3/19/2013	Attachment G1, Section 4.1.2.5	Optum will work with DHS to develop a DR-BCCP that addresses recovery of AME DSS functions, human resources, and the technology infrastructure for each severity level. Optum has significant experience in establishing and maintaining Disaster Recovery Plans and will use this experience in working with the Department to establish and implement an effective DRP and to maintain the plan through the term of the contract.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T28.6	Ensure adequate standards, methods, procedures, and training materials exist in the operations (daily, weekly, quarterly, annually) manuals for securing backups and access to the backup environments are included in the alternative workspace and temporary facilities.	Y	A	3/19/2013	Attachment G1, Section 4.1.2.5	All AME DSS documentation, including AME DSS operating procedures, system documentation, and training materials, will be maintained in electronic format and will be part of the daily backup procedures. In the event of a disaster declaration, the restoration of all applications, data and the documentation will be performed in the DR recovery site within the specified service level and available in the alternate workspace and temporary facilities to Optum and DHS staff.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T28.7	Provide descriptions of the DR-BCCP execution plan, the hierarch of planned events, key roles and responsibilities, and tools for communicating event status to Stakeholders.	Y	A	3/19/2013	Attachment G1, Section 4.1.2.5	Optum will establish and maintain a DR-BCCP that provides for the recovery of services within the specified service level timeframe of the discovery of the service disruption, the declaration of a disaster, or the AME DSS Production site becoming unsafe or inoperable. The DR-BCCP will address the recovery of AME DSS functions, human resources, and the technology infrastructure. Communications will be made directly to the DHS management team, as well as be communicated through the AME DSS Service Desk, whenever possible. Communications will be made via e-mail and recorded messages whenever possible. Continual progress reports will be communicated every 15 minutes via an agreed medium, updating mutually agreed staff of failure resolution in the event of a disaster or other need for use of staging area operations. Optum will partner with DHS to determine specifics of communications during disaster recovery processes when preparing the project Communication Management Plan.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T28.8	Ensure periodic reviews are conducted to ensure a timely restoration and continuity of services and test them as part of the State's standard "drill" exercise.	Y	A	3/19/2013	Attachment G1, Section 4.1.2.5	<p>Optum will conduct periodic testing of the Business Continuity processes and environment. Testing will include validation of:</p> <ul style="list-style-type: none"> • Failover/Fallback Functionality – Executed monthly or at the discretion of the State, testing will confirm the continuing full functionality of the AME DSS in the event of a component failure in the Production System. • Back-up/Restore Functionality - Executed quarterly or at the discretion of the State, testing will confirm that the AME DSS back-up procedures and formats are complete and fully functional in the event they are required for a restore. Testing will also verify the availability of the back-up media and that restore procedures return the system data to the intended state in the specified amount of time. • Disaster Recovery - Executed at the discretion of the State, testing will evaluate the applicability of the DR-BCCP at the proposed disaster recovery site. 	Project Monitoring
T28.9	Include the Data Center (options) and their backup data centers, at least one local business office, and any required telecommunications connectivity and external system interfaces in the DR-BCCP exercise drills or tests. The Contractor shall update the DR-BCCP Plan each time based on the exercise drill results.	Y	A	3/19/2013	Attachment G1, Section 4.1.2.5	A component of the DR-BCCP drills will test the restoration of data, systems, and documentation, and also will test the connectivity and access to the systems by Optum staff to verify smooth resumption of operations in an alternate location.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T29.1	Approach to validate the legacy system data elements, sources, definitions, conversion rules, including corrective actions taken upon the legacy data for cleansing or reducing duplicates or orphans.	Y	A	3/19/2013	Attachment G1, Section 4.1.3.2	<p>The data conversion process, including the evaluation of source data and data requirements, will be integrated into the development lifecycles of all identified phases. The data conversion processes will be executed as data is supplied following agreed upon data standards. Optum will deliver conversion test results to the State prior to UAT. Such conversion test results will include content as refined and agreed upon during Requirements Validation. Such test results will include a list of all issues encountered during the data conversion process, including how issues were resolved, and what issues remain outstanding. An action plan to address the remaining issues will be provided. The test results will also include data reconciliation reports.</p> <p>The reconciliation reports will help verify that the quality of the converted data in the AME DSS is as good as the source systems. Our experience with other state implementations suggests that data extracted from the MMIS and other sources systems should be loaded "as-is" as much as possible and then transformed. This helps in making direct data quality comparisons with the source system. Once the data quality is assessed and verified, transformation routines can then be applied to the extracted data. Optum is highly experienced in working with MMIS vendors in identifying and resolving source system errors. As a matter of course, Optum expects to encounter conversion issues in</p>	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
						<p>expects to encounter conversion issues in the data provided by the State or its vendors. We have the processes and experience necessary to report the issues back to the State and suggest corrective actions. Optum is providing a number of on-site staff to lead the data conversion and integration effort of the AME DSS, and we recommend a collaborative data quality initiative through the establishment of a Data Management Oversight Subcommittee.</p> <p>The Data Management Oversight Subcommittee will oversee data-related activities required to satisfy State responsibilities, including data element consultation, participation in data model reviews, approval of the load strategy and load procedures, and approval of the data model. Membership of the Data Management Oversight Subcommittee will include: the State AME DSS Project Manager (Chairperson); a State or vendor Business or Data Analyst (may require multiple resources to represent each data category, e.g. Provider, Recipient, Claims/Encounters) (supporting role); the Optum Project Manager (supporting role); the Optum Data and ETL Architect (supporting role).</p>	

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T29.2	Approach to conduct the bi-directionally map between the data structures of the legacy system and the Systems and Services, and Shared Services.	Y	A	3/19/2013	Attachment G1, Section 4.1.3.2	Informatica PowerCenter provides a codeless, object-based visual development environment with drag-and-drop capabilities. Transformations, source/target objects, and reusable objects (mapplets) can be easily placed in the designer area and linked. Source and target metadata content can be easily imported and shared between different applications. Similarly, all transformations and reusable objects can be pre-defined and shared, making development and deployment of new mappings quick and easy.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T29.3	Approach to automated tools and software to be used in the repeatable conversion of legacy data and the accuracy validation testing of results.	Y	A	3/19/2013	Attachment G1, Section 4.1.3.2	<p>The Optum data integration and conversion process will take operational data from multiple sources like MMIS paid claims, provider files, member files, and prior authorizations. The data conversion process will encompass mapping the data sources, field-by-field, from the source system to a new data structure in the data warehouse. Subsequently, the integration process will be accomplished by the design, development, and implementation of ETL routines for the AME DSS. The ETL task will include developing methods and processes to extract the data from the MMIS and/or other required data sources, editing the data to conform to the State and data requirements, cleansing the data with appropriate cleansing rules, aggregating and summarizing the data (if necessary), and loading the data into the data warehouse. After the initial loads, this ETL process will be repeatable and automated for future updates to the AME DSS.</p> <p>In order to provide accurate and consistent reporting, Optum uses reversible data load procedures during the ETL process. An approach that we use is one where data is first loaded into temporary (or non-production) tables and then subsequently loaded into production-level tables. This approach enables the update/load process to be fully reversible in the event that it is discovered that an update/load is erroneous or inconsistent. Another key element in the ETL process is the need for a robust set of audit trails for the update</p>	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
						<p>a robust set of audit trails for the update process; we provide such audit trails as part of our solution.</p> <p>Optum will also use the DevTest testing management software to create and maintain repeatable test cases and scenarios for the validation testing of conversion results.</p>	

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T29.4	Approach to reconcile converted legacy data to be reconstituted by the legacy systems data teams to ensure a more accurate conversion with fewer exceptions.	Y	A	3/19/2013	Attachment G1, Section 4.1.3.2	<p>Data consistency checking and reconciliation of the AME DSS environment with the source data will be accomplished during the ETL process with balancing queries and reports developed during Phase II. The primary comparison will be between records provided by the State or its vendors and passed through the extraction and transformation process and those records that are loaded into the data warehouse for each load cycle. The business rules identified during the Requirements Validations task, and applied in the transformation process, will be factored into this comparison as in some cases the "records in" will be grouped or aggregated and thus the "records out" count will be impacted. The consistency checking and reconciliation process will minimally include the following steps:</p> <ul style="list-style-type: none"> • State (or delegated vendor) performs the appropriate data extracts of the source systems • State (or delegated vendor) transfers the data from the source system to a location that is accessible by the Optum ETL Team, envisioned as an Optum-supplied FTP server in the Production data center • Optum loads the extracted data into the data warehouse and performs cleansing routines • Optum compares the pre-load and post-load reports for data quality and consistency purposes • Optum performs selected sample queries against both source and target data 	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
						<p>against both source and target data sources to test for data quality</p> <p>In summary, the reporting process will consist of row counts of all tables loaded and metrics (sum, count distinct and max) of selected data elements.</p> <p>The AME DSS environment balancing reports will include reports such as the following:</p> <ul style="list-style-type: none"> • State- or Vendor-Provided Extract Reports <ul style="list-style-type: none"> – Row counts and related metrics for each extract from the source systems for each table to be replaced in the AME DSS environment – Row counts and related metrics for each extract from the source systems for each table to have rows added in the AME DSS environment – Row counts and related metrics for each extract from the source systems for each table to have rows changed in the AME DSS environment • AME DSS-Generated Reports <ul style="list-style-type: none"> – Row counts and related metrics for each table in the AME DSS environment prior to and after incremental data loading – Row counts and related metrics of number of rows added and deleted in the AME DSS environment for each table where rows were added or deleted – Row counts and related metrics of number of rows changed in the AME DSS environment for each table where rows were changed – Tables and Fields that are dropped (if any) 	

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
						The selected data elements to be used in metrics (sum, count distinct, max) calculations for balancing will be mutually determined during the project Requirements Validation phase.	
T29.5	Approach to data derivation for new data that is not legacy system data but required to support the Contractor's Systems and Services, and Shared Services.	Y	A	3/19/2013	Attachment G1, Section 4.1.3.2	The Data Conversion Plan will include our approach to working with new source systems that may be needed in addition to data from the legacy system.	Project Monitoring
T29.6	Approach to document, assign, resolve, and approve unexpected and anticipated conversion issues and risks.	Y	A	3/19/2013	Attachment G1, Section 4.1.3.2	Optum will develop a Data Conversion Plan to define the procedures that will be followed to document, assign, resolved and approved unexpected and anticipated conversion issues and risks. We have significant experience in converting data from legacy systems, and the usual problems that are encountered. However, we realize the unexpected problems are also the reality of such a complex process, and will include our approach to researching and resolving unexpected issues. The Data Conversion Plan will define the testing processes, including test cases and scenarios, documentation and tracking of defects, and processes for issue assignment, resolution and re-testing.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T29.7	Approach to joint cooperate with the State, and the legacy systems' vendors , the cooperation and governance surrounding proposed timelines, schedules, and resources for conversion or migration events, and follow-up afterwards.	Y	A	3/19/2013	Attachment G1, Section 4.1.3.2	Optum is highly experienced working with all MMIS vendors. Our Data Conversion Plan will define our approaches for working with vendors to define mutually-agreeable schedules for receiving source data, governance for reporting and tracking of issues as they arise, and follow-up of issue resolution and reloading of data if necessary. During the Development Phases of the project Optum is providing more than three ETL specialists to meet the timeline and quality SLAs.	Project Monitoring
T29.8	Approach to ensure "ready to go" status of data prior to conversion, and migrations into the Contractor's scope of services.	Y	A	3/19/2013	Attachment G1, Section 4.1.3.2	The Data Conversion Plan will include the approach for providing comprehensive documentation to the Department on the validation of the data conversion, and sign-offs to verify the processes are "ready to go" prior to the actual conversion process being performed.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T30.1	Business Area Facilities Plan (Workspace and Equipment Layout)	Y	A	3/19/2013	Attachment G1, Section 4.1.4.1	<p>Our approach to facility identification, implementation and management verifies that all aspects of the AME DSS Project are fully supported by well-planned, secure, scalable facilities that meet or exceed RFP requirements and provide the foundation for future project needs. We have designed the DDI Project Office space to include adequate work areas for our project staff, State staff, PMO and IV&V contracted staff identified in the RFP. Our project work plan includes tasks to complete acquisition and readiness of the site so that it is operational within 60 State calendar days after the contract execution date.</p> <p>Optum will provide the facilities as specified in AME DSS RFP Attachment G1 Section 2.3.2 DDI Project Office, Table 7 DDI Project Office Requirements and Table 8 DDI Project Office Technical Requirements. The DDI Project Office will be located within five miles of 700 Main St. Little Rock, Arkansas.</p> <p>Optum will provide a Business Area Facilities Plan that will include the planned layout of the AME DSS operations workspace and associated equipment layout.</p>	Project Monitoring
T30.2	Business Area Equipment Plan (Desktop and Peripherals Engineering and Configuration and Test)	Y	A	3/19/2013	Attachment G1, Section 4.1.4.1	Optum will provide a Business Area Equipment Plan that includes Desktop and Peripherals Engineering and Configuration and Test.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T30.3	Business Services Activation Plan 1. Standards-based Messaging 2. Standards-based Exchange Data 3. Non-standard exchanges	Y	A	3/19/2013	Attachment G1, Section 4.1.4.1	Optum will work with the State to determine the requirements for the Business Services Activation Plan.	Project Monitoring
T30.4	Business Services Analysis and Design Plan 1. Business Processes (Workflow) 2. Business Rules (Workflow) 3. Process Controls (Business Intelligence / Reports) 4. Supporting Tools (Manual Practices and Automated Practices)	Y	A	3/19/2013	Attachment G1, Section 4.1.4.1	Optum will deliver a Business Services Analysis and Design Plan to document: 1. Business Processes for workflows to maintain the hardware and software development environment, and Service Desk procedures 2. Business Rules associated with the Business Processes 3. Process Controls to manage user accounts, monitor and control disk space usage, query logs, access logs, and operational reports, and analyze user queries 4. Supporting Tools and associated manual and automated practices	Project Monitoring
T30.5	Business Services Acceptance Test Plan 1. Workflow 2. Business Rules 3. Controls	Y	A	3/19/2013	Attachment G1, Section 4.1.4.1	Optum will provide a Business Services Acceptance Test Plan to facilitate DHS acceptance of Business Services Analysis and Design.	Project Monitoring
T30.6	Business Services Training Plan 1. Services Administration Tools 2. Services Train-the-Trainer 3. Business Area Equipment (Maintenance and Consumables) 4. Work Group Floor Support (at cutover)	Y	A	3/19/2013	Attachment G1, Section 4.1.4.1	Optum will provide a Business Services Training Plan for Service Desk operations and procedures for support of any Business Area Equipment, including hardware support and maintenance contacts. The Plan will also include a train-the-trainer plan to provide a smooth handoff of processes from DDI staff to Operations staff.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T30.7	Business Services Rollout Plan 1. Pre-Rollout Preparations – Archives and Imaging 2. Rollout Work Group #1 3. Rollout Work Group #1 Checklist	Y	A	3/19/2013	Attachment G1, Section 4.1.4.1	Optum does not anticipate archiving and imaging to be part of the AME DSS solution.	Project Monitoring
T30.8	Business Services Assurance Plan 1. Dashboards 2. Reports 3. Performance Data Capture 4. Security and Privacy Checklists	Y	A	3/19/2013	Attachment G1, Section 4.1.4.1	Optum will provide a Business Services Assurance Plan that will document the content, media for the dashboards and reports for the performance management information. The Plan will also include Optum's approach to capturing each of data items to be monitored and reported in the AME DSS performance data. The Security and Privacy Checklists will also be documented based on the information from the Security and Privacy Plan.	Project Monitoring
T30.9	Federal (CMS) MECT Certification Criteria P	Y	A	3/19/2013	Attachment G1, Section 4.1.4.1	Optum will provide support when the AME DSS components undergo certification (e.g., IMARS, ISURS) by CMS. Our support will include creating and reviewing CMS checklist documents, attending meetings, assisting in the development of presentations, answering questions, facilitating system review and access, and other activities needed to support the certification process. Our experienced staff has provided similar kinds of support during the certification processes for many other states and we have assisted them in becoming certified.	Project Monitoring
Table 31 DSS Operations Functions							

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T31.1	Decision Support Component	Y	A	3/19/2013	Attachment G1, Section 4.1.4.2	Optum will provide a Services Plan as required by the RFP Attachment G1, Section 4.1.4.2 with information on the functions of Optum's operations staff to assist the Department with the use of Optum's AME DSS solution, including Service Desk support, training, and one-on-one assistance for the components of the AME DSS.	Project Monitoring
T31.2	Data Warehouse Component	Y	A	3/19/2013	Attachment G1, Section 4.1.4.2	Optum will provide a Services Plan as required by the RFP Attachment G1, Section 4.1.4.2 with information on the tasks required to maintain and operate the data warehouse, including: <ul style="list-style-type: none"> • Performing data loads using Informatica ETL software • Monitoring and maintaining the database on which the data warehouse will operate, using Oracle database management software • Maintaining the data warehouse data model to accommodate any necessary changes 	Project Monitoring
T31.3	Business Intelligence and Query Tools	Y	A	3/19/2013	Attachment G1, Section 4.1.4.2	Optum will provide a Services Plan as required by the RFP Attachment G1, Section 4.1.4.2 with information on the administration functions Optum will perform to maintain and operate the IBM Cognos BI software and other processes required in RFP Attachments G2 Sections 2, 3, and 4.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T31.4	Fraud Detection Component (Pre and Post Processing)	Y	A	3/19/2013	Attachment G1, Section 4.1.4.2	Optum will provide a Services Plan as required by the RFP Attachment G1, Section 4.1.4.2 with information on the pre- and post-processing functions Optum will perform for Fraud Detection component of the AME DSS solution. This includes information regarding usage of fraud detection algorithms, provider and recipient profiling, SURS reporting parameters, and other processes required in RFP Attachments G2 Sections 2, 3, and 4.	Project Monitoring
T31.5	Management and Administrative Reporting (MAR)	Y	A	3/19/2013	Attachment G1, Section 4.1.4.2	Optum will provide a Services Plan as required by the RFP Attachment G1, Section 4.1.4.2 with information on the operation of the Management and Reporting (MAR) functions performed by Optum's IMAR software as required in RFP Attachments G2 Sections 2, 3, and 4.	Project Monitoring
T31.6	Surveillance and Utilization Review (SUR)	Y	A	3/19/2013	Attachment G1, Section 4.1.4.2	Optum will provide a Services Plan as required by the RFP Attachment G1, Section 4.1.4.2 with information regarding processes to perform provider and recipient profiling, maintenance of SURS reporting parameters, and other processes required in RFP Attachments G2 Sections 2, 3, and 4.	Project Monitoring
T31.7	Federal Reporting	Y	A	3/19/2013	Attachment G1, Section 4.1.4.2	Optum will provide a Services Plan as required by the RFP Attachment G1, Section 4.1.4.2 with information on the operation of the Federal Reporting functions performed by Optum's IMAR software as required in RFP Attachments G2 Sections 2, 3, and 4.	Project Monitoring
T31.8	Decision Support Component	Y	A	3/19/2013	Attachment G1, Section 4.1.4.2	Optum acknowledges and will comply with this requirement.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T32.1	Identify, confirm, acquire, and configure all software and hardware assets constituting the technical infrastructure maintained and operated by the Contractor.	Y	A	3/19/2013	Attachment G1, Section 4.2.1	Optum will complete the identification of the hardware to be acquired based on the items defined in the Infrastructure Assets Inventory component of the Technical Infrastructure Plan. We will confirm the selection with the State, and will proceed to purchase the agreed-upon equipment according to the data center option of the AME DSS solution being hosted in Optum's data center. Once the equipment is delivered to the Optum data center, we will configure all hardware and install the software components.	Project Monitoring
T32.2	Establish and execute the software development life cycle (SDLC) for all the State- approved Task Orders, Change Controls, and Contractor-identified Gap-closure Recommendations for Project Component software and services.	Y	A	3/19/2013	Attachment G1, Section 4.2.1	Please see the "Approach to the SDLC Phases" in proposal Attachment, Section 4.2.2 Configuration and Integration.	Project Monitoring
T32.3	Identify each of the technical infrastructure assets assigned within every Stakeholder operating facility (remote and local) including the Data Center Options, the backup facility locations, and the Contractor business services operation sites).	Y	A	3/19/2013	Attachment G1, Section 4.2.1	Once all hardware and software has been acquired, Optum will complete the Bill of Materials in the Infrastructure Assets Inventory portion of the Technical Infrastructure Plan.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T32.4	Components must be accompanied with the development, configuration and integration of Project interfaces, exchange services, interoperability tools, databases and data warehouses, performance reporting, and access to legacy applications for seamless operations of the computing environments under the management and control of the Contractor defined herein this RFP.	Y	A	3/19/2013	Attachment G1, Section 4.2.1	Optum will develop, configure, integrate, and operate all components of each of the computing environments defined in proposal Attachment G1, section 2.3.1.3 Computing Environments.	Project Monitoring
T32.5	Document the configuration of the assets that are Contractor maintained and operated.	Y	A	3/19/2013	Attachment G1, Section 4.2.1	Configuration of the assets listed in the Infrastructure Assets Inventory will be documented and maintained as part of the Technical Infrastructure Plan.	Project Monitoring
T32.6	Install, configure, and test all hardware and software (e.g., operating software, network monitoring software, software utilities, communications software, peripheral equipment and software) for all computing environments and networks that will be Contractor- maintained and operated.	Y	A	3/19/2013	Attachment G1, Section 4.2.1	Optum's technical staff is familiar with the details and steps needed to successfully install, configure, and test all components of the computing environments defined in proposal Attachment G1, section 2.3.1.3 Computing Environments. Optum has experience in the implementation of hardware and software assets in a variety of data centers environments.	Project Monitoring
T32.7	Interface and test all hardware and software and networks that are participating in the technical infrastructure that are State maintained and operated for full interoperability and computing service related.	Y	A	3/19/2013	Attachment G1, Section 4.2.1	Optum's data center networking staff will work with the Arkansas Department of Information Systems networking staff to complete the interface of hardware and networks that are State maintained and operated to accomplish full interoperability for all components of the AME DSS.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T32.8	Prepare and deliver the Technical Infrastructure Administration Procedures for the operation of the deployed Technical Infrastructure. The Contractor must include all supporting documentation supplied by the equipment or commercial software vendor.	Y	A	3/19/2013	Attachment G1, Section 4.2.1	Our experience in data center operations will provide an excellent basis for documentation of the Technical Infrastructure Administration Procedures of the AME DSS. This documentation and all vendor documentation will be available via the Microsoft SharePoint documentation portal that will be established for all system and user documentation.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T32.9	<p>The Technical Infrastructure Administration Procedures must include best practices to be used:</p> <ol style="list-style-type: none"> 1. Roles and responsibilities 2. Detailed procedures, decision trees, and their frequency performed 3. Data backup, archiving, and file restoration processes. 4. Asset and configuration management within the Data Center Options 5. Monitoring of system and services activity (i.e., event logs) 6. Identification of abnormal activity and alerts resolution procedures 7. Update and repair management procedures 8. Ability to restore the last known stable configuration 9. Storage management and monitoring procedures 10. Data management and administration procedures 11. Procedures to ensure data integrity and minimize data corruption 12. Procedures for protection of physical assets 13. Authorized access to backups during emergency or disaster 14. Security procedures supporting State security and privacy policies 	Y	A	3/19/2013	Attachment G1, Section 4.2.1	Optum develops detailed Technical Infrastructure Operational Procedures for all its data warehouse and decision support installations. Figure 4-10 an excerpt of Technical Infrastructure Administration Procedures developed for one of our clients.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T32.10	<p>The Contractor must demonstrate successful results for the following:</p> <ol style="list-style-type: none"> 1. Connectivity – Successful log-on and response connection to all computing environments from a State specified location and workstation 2. Response Time – Successful response time to ensure workstation meets minimum response time requirements, even while allowing for known latencies or delays in the Contractor or State infrastructure 3. System Availability – Successful availability or uptime access by Stakeholders 4. Disaster Recovery – Successful backup and restoration, transfer of operations to the backup site and access, and identify and measure all performance points and go-live criteria 5. Security – Successful monitoring and governing of network and infrastructure related security requirements 6. Documentation and Procedures – Demonstrate a correctly configured technical infrastructure complete with local and remote administration and management, the administration plans and procedures and tools, all are in conformance with the actual practices 	Y	A	3/19/2013	Attachment G1, Section 4.2.1	<p>We will demonstrate the following requirements upon completion of the Technical Infrastructure deployment:</p> <ul style="list-style-type: none"> • Connectivity: Optum will provide a hands-on demonstration at the State-specified workstation of logon and response to all computing environments defined in Proposal Attachment G1, Section 2.3.1.3 Computing Environments. • Response Time: Optum will demonstrate the ability and response time to access the AME DSS system at the workstation according to the performance standard PERF2.19 in AME DSS RFP Attachment G2, Section 2.10.3 DSS Performance Standards. • System Availability: Optum will monitor and provide documentation of system availability or uptime access according the performance standard PERF2.07 in AME DSS RFP Attachment G2, Section 2.10.3 DSS Performance Standards • Disaster Recovery – Optum will perform a test of the Disaster Recovery and Business Continuity and Contingency Plan and provide the results to the State • Security – Optum will provide documentation to the State of the several technologies used to ensure the security of the network and devices that connect to it. These include our Security Monitoring Center (SMC) that consists of network security personnel who provide 24/7/365 monitoring of the network via industry standard monitoring tools. The SMC monitors a dashboard which has 	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
						<p>monitors a dashboard which has downstream processes which are followed to ensure the integrity of the network from intrusions.</p> <ul style="list-style-type: none"> • Documentation and Procedures – Optum will validate that the administration plans, procedures, and tools used for the local and remote administration of the technical infrastructure are in conformance with actual practices. 	
T32.11	Produce the Technical Infrastructure Review and Acceptance Report for delivery to the State.	Y	A	3/19/2013	Attachment G1, Section 4.2.1	Upon successful completion of the demonstration of the Technical Infrastructure Deployment, Optum will prepare and deliver the Technical Infrastructure Review and Acceptance Report for review and approval by the State.	Project Monitoring
T33.1	Deliver the Configuration and Integration Plan.	Y	A	3/19/2013	Attachment G1, Section 4.2.2.4	Optum acknowledges and will comply with this requirement.	Project Monitoring
T33.2	Deliver the Functional Design Document.	Y	A	3/19/2013	Attachment G1, Section 4.2.2.4	Please refer to the section following this table for more information on Optum's SDLC approach for the design and development of the AME DSS.	Project Monitoring
T33.3	Deliver the Interface Control Document.	Y	A	3/19/2013	Attachment G1, Section 4.2.2.4	We will work with the Core Contractor and other source system contractors to comply with this requirement.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T33.4	Execute the tasks, activities, and deliverables including coordination with the State for their predecessor and successor dependencies (tasks, activities, and deliverables) to integrate the Technical Infrastructure as a complete deployment capable of supporting the Contractor's Systems and Services and Shared Services (depending upon the Data Center Options).	Y	A	3/19/2013	Attachment G1, Section 4.2.2.4	Optum will execute the tasks, activities and deliverables defined in the AME DSS project work plan to integrate the Technical Infrastructure.	Project Monitoring
T33.5	Execute the tasks, activities, and deliverables including coordination with the State for their predecessor and successor dependencies (tasks, activities, and deliverables) to configure the Contractor's Systems and Services and Shared Services components atop the Technical Infrastructure and computing platforms (depending upon the Data Center Options).	Y	A	3/19/2013	Attachment G1, Section 4.2.2.4	Optum will execute the tasks, activities and deliverables defined in the AME DSS project work plan to configure the AME DSS systems and services atop the Technical Infrastructure.	Project Monitoring
T33.6	Fulfill the regulatory and statutory Standards as defined herein participating in the Technical Infrastructure and the Systems and Services, and Shared Services computing environments.	Y	A	3/19/2013	Attachment G1, Section 4.2.2.4	Optum acknowledges and will comply with this requirement.	Project Monitoring
T33.7	Execute the tasks, activities, and deliverables of the Contractor's SDLC for designated RTM component and Task Order component build, configuration, integration, and test as part of the Technical Infrastructure and computing environments successful operations and interoperability.	Y	A	3/19/2013	Attachment G1, Section 4.2.2.4	Please refer to our response to Identifier T33.13 for the description of Optum's approach to the System Development Life Cycle (SDLC), including testing activities.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T33.8	Execute the tasks, activities, and deliverables of the Contractor's comprehensive series of tests within each of the computing environments processing transactions as part of the Contractor's Systems and Services, and Shared Services defined herein this RFP.	Y	A	3/19/2013	Attachment G1, Section 4.2.2.4	Please refer to our response to Identifier T33.13 for the description of Optum's approach to the System Development Life Cycle (SDLC), including testing activities.	Project Monitoring
T33.9	Prior to execution, conduct a comprehensive review with the State-designated Stakeholders to confirm the configuration and integration standards, specifically as they apply to the configuration and integration activities of this Project.	Y	A	3/19/2013	Attachment G1, Section 4.2.2.4	Optum will meet with the State-designated Stakeholders to review the Configuration and Integration task, deliverables for the Configuration and Integration phase in the AME DSS project work plan. We will also submit the Configuration and Integration Plan for the hardware, network, and software components during the Project Kick-off for review and comment by the State as required in AME DSS RFP Attachment G1 Section 7, Table 85, requirements DEL1.8 and DEL1.9.	Project Monitoring
T33.10	Fully describe how its standards will result Systems and Services, and Shared Services atop a technical infrastructure and computing environment that is clearly organized, and easy to operation and maintain.	Y	A	3/19/2013	Attachment G1, Section 4.2.2.4	Optum's use of a clearly defined system development methodology is designed to result in an AME DSS that is clearly organized, well documented, and easy to operate and maintain. Please see description of Optum's approach to the SDLC and the associated standards that are utilized in our response to Identifier T33.13.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T33.11	Assess whether any changes are needed to the standards in light of the functional design of the Services Components and Shared Services.	Y	A	3/19/2013	Attachment G1, Section 4.2.2.4	Optum's approach to the design and development of the AME DSS provides for the joint review by the State and Optum of standards for the functional design of the Services components. The standards are developed in requirements analysis sessions, documented in our General System Design document, and finalized in the Functional Design Document. Please see description of Optum's approach to the SDLC and the associated standards that are utilized in our response to Identifier T33.13.	Project Monitoring
T33.12	Provide detailed updates reflecting the specific schedule and resource requirements to the baseline WBS and Project Work Plan mutually approved during Phase I.	Y	A	3/19/2013	Attachment G1, Section 4.2.2.4	Optum will meet with the State on a scheduled basis to provide updates on project status as well as any updates to the WBS and Project Work Plan approved during Phase I.	Project Monitoring
T33.13	Document the various standards for use in configuration, software customization, and integration as an appendix to the Configuration and Integration Plan.	Y	A	3/19/2013	Attachment G1, Section 4.2.2.4	The information following this table is a high-level discussion of the standards used in the configuration, software customization, and integration of the AME DSS. Optum will provide full documentation of these standards as an appendix to the Configuration and Integration Plan.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T34.1	Provide a sufficient level of detail describing in the Guide the approach to the TEMP and overall testing methodology, tools and techniques, the execution steps, how it is similar or dissimilar for each computing environment, and the entrance and exit criteria for promotion from one computing environment to another (e.g., staging, model office, development, system, integration, regression, pre-production, production, training, parallel).	Y	A	3/19/2013	Attachment G1, Section 4.2.2.5	Optum acknowledges and will comply with this requirement.	Project Monitoring
T34.2	Provide a detailed description for each processing environment as to: 1. How the specific environment is configured. 2. What software and hardware supports it (e.g., resident on Contractor- or State-provided platforms, security controls). 3. The inventory of administrative and management procedures directly associated with the management and use of that specific environment.	Y	A	3/19/2013	Attachment G1, Section 4.2.2.5	Optum acknowledges and will comply with this requirement.	Project Monitoring
T34.3	Provide, as recommendation to the State, a similarly purposed integration laboratory that provides the ability to exercise scenarios in a controlled test environment that is fully representative of the System and Services and Shared Services (applications and data) prior to formally releasing the item for integration. The integration laboratory may also be used to support "what if" scenarios.	Y	A	3/19/2013	Attachment G1, Section 4.2.2.5	Optum acknowledges and will comply with this requirement.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T35.1	Describe and diagram all the modular functionality and interrelationships of the Project Components (including interfaces and exchange services tools).	Y	A	3/19/2013	Attachment G1, Section 4.2.2.6.1	Optum acknowledges and will comply with this requirement.	Project Monitoring
T35.2	Describe and diagram all the end-user access points (application or portal access).	Y	A	3/19/2013	Attachment G1, Section 4.2.2.6.1	Optum acknowledges and will comply with this requirement.	Project Monitoring
T35.3	Describe the functional tools and techniques for configurations, algorithms, communications, and messaging, automation services, and support tools and techniques.	Y	A	3/19/2013	Attachment G1, Section 4.2.2.6.1	Optum acknowledges and will comply with this requirement.	Project Monitoring
T35.4	Describe and diagram the logical data models and physical data models.	Y	A	3/19/2013	Attachment G1, Section 4.2.2.6.1	Optum acknowledges and will comply with this requirement.	Project Monitoring
T35.5	Produce a cross-reference of the Functional Design Document as it relates to satisfying the State's applicable Key Objectives and Technical Infrastructure Plans' ability to enable the design.	Y	A	3/19/2013	Attachment G1, Section 4.2.2.6.1	Optum acknowledges and will comply with this requirement.	Project Monitoring
T36.1	Provide sufficiently detailed documentation (technical, operational, and end-user configuration support) to ensure a successful interoperability and exchange of data within the technical infrastructure and computing environments, includes message structure and error messaging configurations.	Y	A	3/19/2013	Attachment G1, Section 4.2.2.6.2	Optum acknowledges and agrees to provide an Interface Control Document that meets requirements T36.1 through T36.7 in the AME DSS RFP Attachment G1, Table 36.	Project Monitoring
T36.2	Provide in the detailed documentation the concept of operations for the interface; define the messaging structure and protocols that govern the interchange. Identify the communication paths along which the data is expected to flow.	Y	A	3/19/2013	Attachment G1, Section 4.2.2.6.2	Optum acknowledges and agrees to provide an Interface Control Document that meets requirements T36.1 through T36.7 in the AME DSS RFP Attachment G1, Table 36.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T36.3	Provide the qualification requirements that each interface must meet (technical and operational) and incorporate these requirements into an interface test procedure that exercises all aspects of the interface, including any required data processing.	Y	A	3/19/2013	Attachment G1, Section 4.2.2.6.2	Optum acknowledges and agrees to provide an Interface Control Document that meets requirements T36.1 through T36.7 in the AME DSS RFP Attachment G1, Table 36.	Project Monitoring
T36.4	Propose an interface testing methodology in accordance with the TEMP that emulates the behavior of the external system if there is difficulty in obtaining permission for a "live" test in early stages of the Systems and Services, and Shared Services integration.	Y	A	3/19/2013	Attachment G1, Section 4.2.2.6.2	Optum acknowledges and agrees to provide an Interface Control Document that meets requirements T36.1 through T36.7 in the AME DSS RFP Attachment G1, Table 36.	Project Monitoring
T36.5	Seek advance State approval on the proposed approach and data for interface testing with third parties, Stakeholders, and trade partners prior to conducting the actual test. Provide expected outcomes for each test scenario.	Y	A	3/19/2013	Attachment G1, Section 4.2.2.6.2	Optum acknowledges and agrees to provide an Interface Control Document that meets requirements T36.1 through T36.7 in the AME DSS RFP Attachment G1, Table 36.	Project Monitoring
T36.6	Provide the State with the test approach and results for review and approval prior to placing the interface into a computing environment beyond development and unit test, at minimum; seek approval as part of the systems testing or a similarly defined purpose environment.	Y	A	3/19/2013	Attachment G1, Section 4.2.2.6.2	Optum acknowledges and agrees to provide an Interface Control Document that meets requirements T36.1 through T36.7 in the AME DSS RFP Attachment G1, Table 36.	Project Monitoring
T36.7	Support State review and approvals for interfaces, intra and inter Medicaid domain, with the additional documentation, such as system administration manuals, related to the inter-domain or external systems.	Y	A	3/19/2013	Attachment G1, Section 4.2.2.6.2	Optum acknowledges and agrees to provide an Interface Control Document that meets requirements T36.1 through T36.7 in the AME DSS RFP Attachment G1, Table 36.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T37.1	Provide an approach that addresses the size and complexity of the Stakeholders, the end-user population, taking into account any transition and productivity concerns, hardware and technical considerations, logistical and training, or implementation support issues.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.1	Optum's approach to the Implementation Master Plan for the AME Data Warehouse consists of multiple sub-plans addressing the size and complexity of the Stakeholders, the end-user population. The Implementation Master Plan for the AME Data Warehouse will need to take into account any transition and productivity concerns, hardware and technical considerations, logistics and training or implementation support issues. These sub-plans include a Training Plan, Data Conversion Plan, End-to-End Integration Test Plan, User Acceptance Test Plan, Performance Management Plan, Operations Rollout Preparation Plan and Operational Readiness Review Plan. The Implementation Master Plan must not only cover the Stakeholders and the end-user population, but consider the impacts and complexity associated with the AME Core System and Services and AME Pharmacy System and Services implementation projects. Optum has prepared complex Implementation Master Plans for our customers. For an example, Figure 4-10 in requirement Identifier T37.10 provides a sample of the Table of Contents from one of our current Implementation Plans.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T37.2	Provide an implementation work plan in Microsoft Project that provides a detailed schedule and quantifies required resources for both the Contractor and State with estimates and durations by skill-set.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.1	Throughout the life of the project, the activities and resources required to meet the requirements for both Optum and the State will be documented with estimates and durations, tracked by skill set, and updated on a weekly basis in a detail project work schedule using Microsoft Project, including approved changes. New or out-of-scope items added to the scope of the project will also be added to and tracked within the RTM. Key project milestones and deliverables will be tracked in the project work schedule on a weekly basis and communicated in the status reports.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T37.3	Review the physical space and security requirements for all operational, technical, and business services facilities.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.1	<p>Optum will review all physical space and security requirements for all operational, technical, and business service facilities. This review is part of our standard review process when implementing data warehouse solutions in various States. Optum will look at Security Policy and Procedures that include but are not limited to Acceptable Use; Assigned Security Responsibility; Business Continuity and Disaster Recovery; Business Impact Analysis; Data Classification, Inventory and Control; Data Stewardship; Incident Management; Information Security Management; Information System Auditing; Information Systems Security Certification; IS Authorization and Account Management; Information Technology Operations Security; Logical Access Control; Network Telecommunication and Security, Physical and Environmental Security; Risk Management; Security Compliance Management; and User Identification and Authentication. Optum reviews securing systems and data from threats to physical assets, data, and personnel threats. Optum reviews procedures for protecting against erasure and corruption, physical security, off-site storage, role based access controls (RBAC), security audits and intrusion prevention software.</p>	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T37.4	Update, on a site-by-site basis, the detailed access (security control) plans and procedures, data security plans and procedures, and physical considerations for DR- BCCP that must be tailored to each location.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.1	Optum will conduct its reviews (see T37.3) on a site-by-site basis and determine how detail access (security control) plans and procedures, data security plans and procedures, and physical considerations for DR-BCCP must be tailored for each location.	Project Monitoring
T37.5	Provide updates to the Security and Privacy Plan to reflect any new findings related to physical security.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.1	Optum reviews its Security and Privacy Plan on an annual basis in addition to periodic review based on incidents or industry trends and alerts.	Project Monitoring
T37.6	Minimize known areas of possible disruptions in services, including legacy operations, and to all the State and its Stakeholders in the transition of business operations.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.1	Optum recognizes the importance of planning and executing a successful transition of current operational services related to the solution and subsequent transformation of the environment that establishes a high level of confidence with the State. We will make every attempt to make sure that development and operation of the AME Data Warehouse solution do not cause any disruptions in service and that seamless transition for the State and its Stakeholders occurs between the legacy operations and transition of business operations. For more information related to our Engagement and Transition approach please reference the paragraph below this table labeled "Engagement ad Transition."	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T37.7	Ensure the interfaces for interoperability (intra and inter-domain) with legacy systems and services remains. Involve the State to jointly determine the concurrency requirements.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.1	Optum recognizes that the AME Data Warehouse solution will require interfaces to current legacy systems in addition to transitions to the AME Care System and Service and AME Pharmacy System and Services multiple implementations. We acknowledge the DSS Contractor's role in participating with the Core System Contractor in cross-platform interoperability. Optum will include the State to determine concurrency requirements.	Project Monitoring
T37.8	Coordinate with the legacy vendors.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.1	On prior projects we have found that organizational impact and operations risks represent the highest risks to the project. We will mitigate these risks by establishing a collaborative program environment through organization change and vendor management. Optum will coordinate with legacy vendors throughout the project to allow for a smooth transition from legacy systems. We have proposed a very senior key personnel team for DDI have deep experience in coordinating and transitioning legacy to new DSS systems. They also bring understanding of technology environments and capabilities needed to develop the AME DSS.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T37.9	Secure the State's support for a contingency to roll-back to legacy operations if, at any point during State-wide implementation, the Systems and Services, or Shared Services fails to comply with State and federal requirements or mission critical application failure in terms of features, functionality, availability, and performance in the delivery of Medicaid programs and services.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.1	Optum's Project Management Risk Management process is designed to document and track risk through project lifecycle that could potentially disrupt implementation or operations of the AME DSS. The Risk Management process also requires that a risk mitigation strategy be developed during the planning process to address such situations. If a deficiency is identified post-implementation, the Optum AME DSS Project Manager will first consult the Risk Management Plan for a potential solution. This includes developing a State supported contingency to roll-back to legacy operations.	Project Monitoring
T37.10	Establish a Rollout Schedule with the Go: No-go criteria and responses for each facility rollout event scheduled.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.1	As part of Optum's Project Management Risk Management process and milestones incorporated in the Project Work Plan for each rollout event scheduled, a Rollout Schedule with Go: No-go criteria and responses will be developed.	Project Monitoring
T38.1	Provide a detailed Training Plan that addresses the use of the Systems and Services, and Shared Services according to the State and its Stakeholders' roles and responsibilities and skill-sets.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.2	Optum acknowledges and will comply with this requirement.	Project Monitoring
T38.2	Include all known operational, and support procedures for using any Contractor-provided support resources.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.2	Optum acknowledges and will comply with this requirement.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T38.3	Address fully any specialized training for State staff and designated Stakeholders whose assigned duties and responsibilities are related to the management, administration, and security of the Systems and Services, and Shared Services.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.2	Optum acknowledges and will comply with this requirement.	Project Monitoring
T38.4	Provide a comprehensive training rollout schedule that includes all the training courses, the training locations, the enrollment process, the pre-training course instructions, the training materials, and any supporting infrastructure and equipment, passwords, long-on, and connectivity to the computing environment. Include the mechanisms to address questions, or resolve issues, including defects that may be identified during the training courses.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.2	Optum acknowledges and will comply with this requirement.	Project Monitoring
T39.1	Report on all UAT data conversion and migration activities to ensure completeness of coverage for each data conversion cycle. Detail the cycle's progress and accuracy of data conversion results.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.3	Optum will use Microsoft Project to report on all UAT data conversion activities. In addition Optum will produce run sheets for each data conversion cycle to ensure completeness of coverage. These run sheets will provide the detail of the cycle's progress. Conversion Test Results and Reconciliation Reports will be produced to ensure accuracy of data conversion results. Please reference the section below this table on "Conversion Test Results" for additional information.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T39.2	Provide for pre-conversion analysis using trial cycles to fully validate the conversion rules, conversion processes, and conversion results. Allow for State review and approval of the pre-conversion trial.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.3	Throughout the development lifecycle (mapping and ETL) pre-conversion analysis on sample data is performed. Prior to UAT trial cycles to fully validate the conversion rules, pre-conversion conversion trial cycle processes will be performed and the State allowed to review and approve the conversion results of each.	Project Monitoring
T39.3	Provide a UAT Data Conversion Final Report deliverable to the State as input to the States approval to proceed to UAT planned events.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.3	Once the trial cycles have been reviewed and approved. Optum will continue to load all data required for UAT activities. All data loads for UAT or production go through the same process of validation and quality review. Prior to UAT planned events, a Data Conversion Final Report Deliverable will be produced and approved by the State.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T39.4	Provide a methodology and “stepwise” plan for ongoing data verification and/or reconciliation needs in an evolving modular environment and while pursuing business process maturity.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.3	Optum’s methodology and “stepwise” plan for ongoing data verification provides flexibility for additions or changes to data inputs in the Data Warehouse throughout the contract. The modular processes (including data verification and/or reconciliation needs) created during development activities carry forward to production. As new data sources are identified and incorporated these modular processes are replicated and modified based on the new data sources. When existing data sources or data suppliers are changed the environment may be modified to support the changing business process. As entire or various business processes mature those environments may change individually or in whole.	Project Monitoring
T39.5	Provide participation and support, particularly in the Defect Identification and Problem Solving activities, of the UAT; specifically in the UAT activities related to the computing environments and applications and data under the direct management and control of the Contractor.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.3	Optum will participate in and support the Defect Identification and Problem Solving activities throughout the contract, particularly those related to the computing environment and applications and data under the direct management and control of Optum.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T40.1	<p>Conduct all testing activities, produce all deliverables, and manage all defects according to the requirements and specifications defined herein. (Illustrate complementary tests of technical and operational aspects of the Systems and Services, and Shared Services. Must produce, capture, and document the results of every test scenario required to demonstrate completeness of the RTM and any modifications as a result of the Project's decision-making.</p>	Y	A	3/19/2013	Attachment G1, Section 4.3.1.4	<p>The detailed test cases for EEIT include specifics such as navigation, the required input for each report/query/process, and the expected result of each transaction. This testing is more formal than a unit or systems test; the EEIT requires an integrated test approach, problem reports, and State sign off for successful completion of the test. During this phase, the software artifacts, system documentation, and test data will be migrated from the development environment to a separate test environment.</p> <p>Optum will plan, execute and document a series of tests such that the RTM as modified by approved project/contract vehicles is confirmed.</p> <p>The following outputs will be produced as a result of the activities in this phase:</p> <ul style="list-style-type: none"> • Integrated AME DSS Solution ready for UAT • Updated Project Work Plan • Updated RTM 	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T40.2	Conduct testing in a manner that is deemed progressive; augmented deployments of Systems and Services, and Shared Services functionality, including exchange data services and third party or trading partner agreements, and State Stakeholders; each one adding more functionality to the computing environments.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.4	Optum's approach to integration testing reflects the need for strings of tests that prove out end-to-end functionality. Each of the individual applications, COTS and integration components is tested to confirm it performs itself as required, then tested to ensure it performs correctly as part of a larger and larger integrated test. Additional components are added to the test package only upon successful satisfaction an initial baseline integration test; the new test can then focus primarily on the integrated performance of the additional functionality.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T40.3	<p>Conduct a full regression test at the conclusion of each major set of testing objectives to ensure stability of progress. The conclusion of all testing will allow the Contractor to provide physical evidence the completeness of deployment and operation according to, and in full compliance with the specifications and requirements defined herein this RFP.</p>	Y	A	3/19/2013	Attachment G1, Section 4.3.1.4	<p>Once modifications and enhancements have each been successfully tested in the System Test and Integration Environment, they will be promoted to the End-to-End Regression Test Environment. The End-to-End Regression Test Environment will be hosted on a Hewlett-Packard DL580 test server, or equivalent. This computing environment will be used to support initial operational testing of the data warehouse tables, reporting artifacts, ETL, and data conversion processes. This computing environment is where testing of all components, not just those that have been modified, will be conducted. This is to ensure that no errors or unforeseen impacts have been introduced to the system as part of a modification or enhancement.</p> <p>The End-to-End Regression Test Environment is used to validate new releases of COTS software that do not require any changes to the COTS metadata configuration. This environment can be used to validate the stability and usability of a new COTS product and identify any potential defects in a new release of a COTS product prior to promotion to other computing environments.</p>	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T40.4	Provide a methodology that permits Contractor-appointed staff to be members of an independent team, not from the Contractor's design and implementation staff, to perform key validations of all final integration testing. This test group shall include both functional and technical representatives, as needed and defined by the Contractor and approved by the State.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.4	Our proven test methodology includes a measure of independent validation of integration test results. Optum staff outside the development and implementation staff that have relevant business or technical expertise provide a level of "external" confirmation of successful integration test processes and results.	Project Monitoring
T40.5	After each major Component, document results to ensure that expected results are returned, then provide written certification the Component was accepted as testing for inclusion in further, broader integration and testing activities as provided for in the TEMP.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.4	The EEIT Plan will contain procedures to document and validate test results. The Plan will also document the procedures for promotion of Components between Computing Environments to conduct the next phase of testing as the test results are successfully validated.	Project Monitoring
T40.6	Attain written certification in writing that each Component has been accepted as tested with no severity level 1 and severity level 2 tickets opened.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.4	The EEIT Plan will contain criteria for obtaining writer certification such that each component has been accepted with no severity level 1 or level 2 tickets opened.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T40.7	<p>Develop test procedures that support the Integration Test Plan and test automation tools with an appropriate set of tests that will achieve the following test objectives (depending upon the Data Center Options):</p> <ol style="list-style-type: none"> 1. All Systems and Services, and Shared Services Components, Technical Infrastructure, Interfaces, and Computing Environments tested. 2. All RTM entries and enabling business rules, controls, and evidence of the controls are tested, validated, confirmed independently, and certified as meets the federally-mandated and State-defined requirements, including trading partners. 3. All workstations and peripheral equipment, software, and services are certified as meeting the configurations to enable business functionality supported by workflow, imaging, printing, copying, workstation commands, security and privacy guidelines and logons. 4. All test results, not deemed acceptable, are given proper priority status and level of severity for managing to Contractor and State procedures for defects and workarounds. 5. All training on test tools and techniques, documentation and protocol for reporting results are signed-off by the State, its Stakeholders, and permissions granted for Inter and intra-domain testing scenarios and protocols. 6. All testing cycles, batch and online, real-time and near real-time, daily, weekly, week- ed, monthly, quarterly, annually, and 	Y	A	3/19/2013	Attachment G1, Section 4.3.1.4	The EEIT Plan will contain the documentation of testing processing, automated tools, and procedures as specified in the requirement.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T40.8	<p>Provide evidence all testing and processing environments utilized for a given test can be restored to their original condition (refreshed) prior to the start of the given test.</p> <p>At a minimum, the Contractor shall define in detail the objectives and expected outcomes with the following types of technical infrastructure and computing environment tests (depending upon the Data Center Options): That the tests have expected outcomes and validations related parameter files and databases that may be affected or changed (add, change, delete, restore) during execution of the test</p> <ol style="list-style-type: none"> 1. Performance Testing 2. Load Testing 3. Stress Testing 4. Security and Privacy Compliance Testing 5. Cycle-to-cycle Dependencies (Claims, Financials) Testing 6. System-generated "preconfigured" Output (Foreign Languages) Testing 	Y	A	3/19/2013	Attachment G1, Section 4.3.1.4	<p>Many different testing methodologies are used by Optum so that a quality solution is implemented, as all testing strategies have their strengths and weaknesses. Testing is an on-going process with many intermediate steps to check progress and accuracy of data and processes. Each test begins with an environmental "reset" then ensures a consistent starting point for the test. Test plans, test cases, and testing results will all be submitted to the State for review in a timely manner. Our comprehensive testing approach for the Optum AME DSS solution will include a number of testing efforts including regression testing, volume/load, stress, and performance testing; security and privacy compliance testing; cycle-to-cycle dependency testing; and data consistency and validation testing. Please refer to Section 4.1.1.2 Test and Evaluation Management Plan for additional testing details on each of these tests..</p>	Project Monitoring
T40.9	<p>Prepare and produce the Integration Test Results Report as defined by the State for progressive testing or integration testing as each component or function is integrated and added to the baseline.</p>	Y	A	3/19/2013	Attachment G1, Section 4.3.1.4	<p>The EEIT Plan will contain process for the preparation and delivery of the Integration Test Results Report as each component or function is integrated into the AME DSS Solution.</p>	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T40.10	Prepare and produce the Integration Test Summary Report Upon completion of end-to-end testing of all Components, Systems and Services, and Shared Services. Include in the Summary definitions and descriptions of the testing environments and related scopes of testing activities performed, all the types of tests and the results of the tests to allow State visibility into all testing and test outcomes relative to the RTM.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.4	Optum will provide an Integration Test Results Report as each component or functionality is tested that is derived from our standard test documents that have been acceptable and successful in many other implementations. These documents will include test environment, test cases and scripts that were used for the integration tests and summary of their results. Detailed test results will be available for review by the State.	Project Monitoring
T40.11	Ensure the Test Summary Report includes evidence of all supporting or contributing technical materials, documentation, and generated output as required by the State.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.4	The EEIT Plan will contain a template and the procedures for a Test Summary Report that provides the information required by the State, including technical materials, documentation, and generated output.	Project Monitoring
T40.12	The Contractor must present to the State all physical evidence that all requirements have been met.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.4	The EEIT Plan will include processes for providing verification and evidence that the requirements in the RTM have been met.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T40.13	The Contractor shall prepare supporting documentation, conduct a formal review, and provide any appropriate demonstration of System capabilities, including State participation in or observation of selected functional and integrations tests, as appropriate.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.4	<p>Optum will execute all test cases during EEIT to verify the correctness and completeness of the system. State staff be invited to participate in or observe individual tests as appropriate. Successful execution of the test plan confirms a robust and complete migration capability. Our testing team will direct integration testing activities and operate the AME DSS Solution as defined by the appropriate test plans. We will provide for error resolution and technical support throughout system testing activities to facilitate the successful execution of the system test plan.</p> <p>At the completion of successful integration testing Optum will conduct a formal review of the integration test results, including a demonstration of a set of pre-determined (during test planning) functionality. Optum will also work on system documentation providing deployment-level information, focused on system design, functionality, operation, and critical information regarding system interfaces. It will include operating procedures for operations staff covering the ETL process and all application report jobs. Finally, this documentation will include a reference guide for service desk staff.</p>	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T41.1	A description of proposed tests to be conducted during UAT.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.5	Optum has done UAT testing of DSS implementations similar to the structure and functionality which will be delivered with the AME DSS solution. We will provide sample test plans from these other projects.	Project Monitoring
T41.2	A description of the tools, environments, and controls to be used during UAT.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.5	The UAT Plan will include details on DevTest, our proposed automated testing tool, the Computing Environments, and controls and procedures that will be used for UAT.	Project Monitoring
T41.3	A proposed test schedule.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.5	Optum will work with the State to develop a proposed test schedule that will be used for the UAT.	Project Monitoring
T41.4	A description of the Contractor and State roles, responsibilities, and resources needed to perform UAT.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.5	The UAT Plan will also provide information on our approach to the roles, responsibilities, and resources for Optum and State staff. This includes our approach to providing on-site 'walk behind support' to AME UAT testers as needed during UAT to answer questions, provide specific instruction and generally troubleshoot the testing process to help the State to conduct the UAT as efficiently as possible.	Project Monitoring
T41.5	A proposed training plan and schedule for UAT team.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.5	The UAT Plan will provide information on the specific and focused training for AME DSS UAT testers so they are equipped with the skills they need to conduct UAT.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T41.6	A process for UAT problem reporting, tracking, and resolution processes.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.5	The DevTest component within DevSuite supports UAT and QA Test management and planning. All of the modular products within DevSuite are Web-based and allow complete traceability of requirements as they move through development, testing, and to final deployment within the Optum AME DSS solution. By using DevSuite for UAT problem reporting and tracking users gain familiarity with the defect reporting processes that will subsequently be used in production. All reported defects and resolutions will be tied directly to requirements in the RTM by DevSuite.	Project Monitoring
T41.7	A proposed approach to the correction of deficiencies identified during UAT.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.5	The UAT Plan will provide procedures for identification, tracking, correction, and retesting of any issues reported during UAT.	Project Monitoring
T41.8	Provide the following support for defect identification and problem resolution. 1. Problem description and root cause 2. Business processes, system functions, or interfaces impacted 3. CAP and resources required/assigned 4. Implementation approach and schedule for completion	Y	A	3/19/2013	Attachment G1, Section 4.3.1.5	DevSuite provides a tool that captures the problem description including root cause, identifies business processes and system interfaces and functions involved, resources needed and assigned and the defect correction implementation approach steps and schedule for completion, The DevTest component also supports QA Test management and planning.	Project Monitoring
T41.9	Participate fully in all UAT status review meetings with State to review the results of UAT and determine whether the Contractor has met all State requirements in advance of Rollout.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.5	We will participate in the reviews with the State to discuss the UAT to verify that all requirements have been met.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T41.10	Certify in writing all known defects and deficiencies in the computing environment, the Project Components, the technical infrastructure and the operations facilities have been corrected.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.5	Once all the UAT activities are complete to the State's satisfaction, Optum will prepare a memorandum of customer acceptance. This formal written document indicates that the delivered objects and reports satisfy design specifications and that all severity 1 and 2 defects have been corrected as agreed. Optum will then formally request an approval to commence the operations stage.	Project Monitoring
T41.11	Provide a means to capture and manage all State-developed test scenarios together with the related procedures.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.5	The UAT Plan will contain details on how DevTest will be used to capture and manage all State-developed test scenarios and related procedures.	Project Monitoring
T41.12	Correlate the relationship assigned each test scenario and its procedures to the RTM.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.5	The UAT Plan will contain details on how DevTest will be used to correlate the relationship assigned each test scenario and its procedures to the RTM.	Project Monitoring
T41.13	Produce the standards of practice datasets that support each test scenario.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.5	The UAT Plan will contain the procedures for developing test datasets needed to support each test scenario.	Project Monitoring
T41.14	Configure the UAT computing environment, the pre-production staging of the discrete functions of the end-to-end processing environment.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.5	The UAT Plan will define the processes to configure the UAT computing environment.	Project Monitoring
T41.15	Train the State and its Stakeholders on the UAT testing tools and processes; management of test results, defect identification and problem resolution, and corrective action plans in the case of identified deficiencies.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.5	Prior to beginning UAT, Optum will provide UAT training (in the application(s), test tools and test processes) to designated State staff who will participate in UAT.	Project Monitoring
T41.16	Install special software and other technical and operational environmental changes to ensure a "ready-to-go" computing environment for UAT.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.5	Optum acknowledges and will comply with this requirement.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T41.17	Provide computing environment simulation tools to Project Component performance (volume, stress, response time) under extreme and standard practice operational conditions.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.5	The UAT Plan will contain information on the Oracle performance testing tools that will be used for performing volume, stress, and response time testing.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T42.1	Define the tools and techniques used to identify, capture, store, access, report, and monitor each KPI and the mechanisms in place to report the levels of service.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.6	<p>Software tools will be used to monitor, identify, capture, store and provide access to KPI measures for four areas of the performance of the AME DSS solution, as follows:</p> <p>User Interface - TechExcel DevSuite will be used track defects, defect resolution and help desk tickets and ticket response times.</p> <p>Presentation Layer A set of Microsoft SysInternals tools will be used to monitor system performance in the Presentation Layer.</p> <p>Business Logic Layer The IBM Cognos Administration will be the primary on-line tool used to support the management of the IBM Cognos server platform availability, users, applications, scheduled tasks, and data sources. The IBM Cognos Administration will be used by system administrators to set various system parameters that effect system performance in the Business Logic Layer. The administrator interface is divided into three sections.</p> <ul style="list-style-type: none"> • Scorecard – Left hand frame that displays a summary of the overall health of the components that make up the environment • Metrics – Upper right hand frame that lists all of the metrics, and their score, that pertains to the object in focus (from the scorecard fragment) • Settings – Lower right hand frame that shows a read-only view of the configuration parameters that pertain to the object in focus 	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
						<p>Database Layer</p> <p>Oracle Enterprise Manager (OEM) will be the primary on-line tool for unattended monitoring of database layer functionality. Enterprise Manager comes with a comprehensive set of performance and health metrics that allows monitoring of key components in the environment, such as applications, application servers, databases, as well as the back-end components on which they rely (such as hosts, operating systems, storage). The Management Agent on each monitored host monitors the status, health, and performance of all managed components (targets) on that host. If a target goes down, or if a performance metric crosses a warning or critical threshold, an event is triggered and sent to Enterprise Manager. Administrators or any interested party can be notified of the triggered event through the Enterprise Manager notification system. Out-of-box, Enterprise Manager monitoring functionality provides:</p> <ul style="list-style-type: none"> • In-depth monitoring with Oracle-recommended metrics and thresholds. • Monitoring of all components of IT infrastructure (Oracle and non-Oracle) as well as the applications and services that are running on them. • Access to real-time performance charts. • Collection, storage, and aggregation of metric data in the Management Repository. <p>This allows you to perform strategic tasks such as trend analysis and reporting.</p>	

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
						<ul style="list-style-type: none"> E-mail and pager notifications for detected critical events. Reporting Each of the above performance monitoring processes will feed an overall health monitor system from which instant and periodic (e.g. weekly, monthly, annual) reports are created.	
T42.2	Define the KPI data capture points proposed by the Contractor in one of the Phase II deliverables (Functional Design Document, Technical Infrastructure Plan, and Information Architecture).	Y	A	3/19/2013	Attachment G1, Section 4.3.1.6	Optum will work with the State to define the KPI capture data points and deliver it in a Phase II deliverable to be agreed upon with the State.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T42.3	Define the Performance Management System capabilities as a flexible, configurable vehicle to govern activity logs, produce reports, and modify data and data retention periods.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.6	<p>Optum will implement processes for monitoring the various components of the AME DSS solution including load times, storage capacity, query times, down times, and peak load periods. See Identifier T42.1 for further details. The primary objective of this activity is to meet the service level agreements mutually agreed between the State and Optum. Operational requirements have been defined by the State with respect to performance and 'up time'. Our approach to operations is very customer-focused and includes mentoring, ongoing training, and support.</p> <p>The Performance Management System combines a set of flexible tools, each designed for its specific task in the AME DSS environment. Each tool is highly configurable and can be modified over time to reflect changes in requirements or the environment. Monitoring data is captured in an overall system health monitor where it can be managed, reported and retained.</p> <p>Monthly Load Process and Operational Logs</p> <p>Optum generates a Data Loading report for each data source loaded to the warehouse and generates additional Data Loading reports from the AME DSS Staging Tables. Reports are reviewed by the Documentation Specialist, Health Care Quality Specialist and the Data Managers on monthly bases.</p> <p>In addition to creating problem and upgrade logs within the defect management and change control processes, other useful logs</p>	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
						<p>change control processes, other user logs are created to assist in the maintenance and administration of the overall system.</p> <ul style="list-style-type: none"> Operational Log: Optum will create and maintain the System Maintenance Log to document maintenance changes made to the AME DSS. This log is used to document changes made for communications and to reverse changes made, in the event that unforeseen results are encountered (e.g., decreasing network packet size for optimization of network traffic having the “unforeseen” result of causing intermittently dropped communications). Database Activity Logs: Database logs are created and maintained by the Oracle Enterprise Manager. <p>During operations, Optum will monitor resource utilization and system performance. Should end user levels or data requirements exceed those stated in the RFP, Optum technical staff will analyze the utilization data collected by the system and prepare and present hardware and software recommendations to address the resource utilization issues.</p>	

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T42.4	Procedures to correct any compliance issues or problems using a Corrective Action Plan (CAP).	Y	A	3/19/2013	Attachment G1, Section 4.3.1.6	Under the guidance of the project manager, the project team will be responsible for continuous process improvement, including error detection and error correction of work products and deliverables. When developing corrective action, the project team will analyze the results of quality monitoring against the quality standards documented in the Quality Management Plan (QMP). This will determine processes that need improvement or change. A CAP will result from the discovery of a deficiency in order to prevent recurrence of the problem. The CAP will detail problems and suggested resolutions in effort to prevent abnormalities from occurring or recurring. Corrective actions will be completed and implemented within agreed timeframes. The project manager will log, assess, and prioritize all identified corrective actions. Optum will assign issues to the team member or Stakeholder who is in the best position to resolve the issue.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T43.1	Provide up-to-date technical, operations, and support Documentation that is representative of the data center production operation environment in the specified mediums.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.7	<p>Our project documentation will enable DHS and Optum to have a clear understanding and control of the AME DSS project's execution during the life of the contract. Optum will publish all user documents and make them accessible via the web portal. The AME DSS user documentation will include items such as:</p> <ul style="list-style-type: none"> • Navigation guideline for AME DSS users - with instruction on how to use the AME DSS • COTS software documentation • AME DSS Training Manuals • Reports Specification and documentation, and • Data cross-walk/dictionary. <p>Optum will also publish as-delivered system documentation prior to requesting approval to commence the Operations phase. These documents provide detailed specifications for the AME DSS components including data acquisition, data delivery, metadata, data access, and data model. They also provide deployment-level information, focused on system design, functionality, operation, and critical information regarding system interfaces. The as-delivered system documentation will include operating procedures for operations staff covering the ETL process and all application report jobs. Finally, this documentation will also include a reference guide for the Service desk staff.</p>	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T43.2	Grant an unlimited right to copy Documentation limited to internal use by the State unless otherwise restricted.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.7	Optum acknowledges and will comply with this requirement.	Project Monitoring
T43.3	Provide a Documentation update capability permitting authorized State representatives direct access to modify and add Documentation.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.7	All documentation will use the same formatting so that documents have the same look and feel to make navigation of the documentation easier for the reader. Documentation will be customized depending on the purpose of the text. All documentation will be available to the State through our web portal. Access by State or contractor to security-sensitive documentation will be tightly controlled with only authorized staff whom have a justified need-to-know given access. The State will be able to modify and add documentation through the approved change control process which will ensure controlled access and properly reviewed, approved changes and additions.	Project Monitoring, Operations Readiness Test (ORT), User Acceptance Testing as described in Optum's Test and Evaluation Management Plan (TEMP)
T43.4	Provide the Training Materials deliverable supporting the Training Plan including procedures for accessing the Contractor-provided training support and training resources.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.7	Optum will publish all training support and training resources and make them accessible via the web portal.	Project Monitoring, Operations Readiness Test (ORT), User Acceptance Testing as described in Optum's Test and Evaluation Management Plan (TEMP)

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T43.5	Provide all Training Materials at least thirty (30) calendar days prior to the start of the first facility implementation.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.7	Optum acknowledges and will comply with this requirement.	Project Monitoring
T43.6	Provide and maintain all Training Materials (e.g., hardcopy and electronic on-line) for each training session, consistent with the Training Plan.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.7	Optum acknowledges and will comply with this requirement.	Project Monitoring
T43.7	Develop materials that reflect realistic scenarios based on State standards of practice for business services, specifically tailored to the users' applications.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.7	Optum has repeatedly employed an approach that incorporates implementation-specific realistic scenarios in training materials and will include training specific to the data in the AME DSS, including scenarios that relate to Arkansas Medicaid business processes using such data. Our proposed Training and Documentation Manager, Ms. Ann Nurenberg has developed and implemented training that incorporates such realistic business related scenario in her work in California.	Project Monitoring
T43.8	Ensure the Training Materials and tutorials accurately reflect the online version of the Project Components' functionality.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.7	Optum will make efforts to ensure over time that training materials are consistent with the components functionality based on versioning	Project Monitoring
T43.9	Ensure hard copy documentation is made available to end-users by the first calendar day of any classroom training and online documentation, including help functions by the first calendar day of User Acceptance Test.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.7	Optum acknowledges and will comply with this requirement.	Project Monitoring
T43.10	Provide the State with master copies of all Training Materials produced or provided by the Contractor.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.7	Optum acknowledges and will comply with this requirement.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T43.11	Provide the State the right to incorporate changes and updates to the Training Materials maintained by the Contractor.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.7	The State will be able to modify and add documentation through the approved change control process which will ensure controlled access and properly reviewed, approved changes and additions.	Project Monitoring
T43.12	Ensure Training Materials are precise, clear and understandable.	Y	A	3/19/2013	Attachment G1, Section 4.3.1.7	Training documentation and support materials will be indexed for easy retrieval and organized by topic. Electronic copies will be updated at least annually and more often as required. We will maintain a common format for training manuals to promote common understanding of expected information. In our experience training materials are improved over time through including questions and suggestions for change in the class evaluation forms. Such evaluations are part of our Training Plan.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T44.1	Prepare the list of indicators, checklists, and validation-point results deemed appropriate for assurance of operational readiness of the Project Components in a production operating environment.	Y	A	3/19/2013	Attachment G1, Section 4.3.2	<p>The Operational Readiness Plan is an important stepwise plan to ensure the AME DSS, its users and Optum's operations are fully prepared for implementation. Upon the successful completion of the testing process and acceptance of the Final Test summary document, Optum will begin implementation readiness activities. These include, but are not limited to:</p> <ul style="list-style-type: none"> • Activate users IDs as requested by DHS and grant appropriate access authority • Deliver end user training to selected group of users • Set up Production program libraries (ETL, reports, metadata) • Set up Production schedules (ETL, reports) • Load initial Production data • Write operating procedures for the operations staff • Prepare user documentation • Prepare operations management manual • Prepare for on-going support. 	Project Monitoring
T44.2	Prepare the list of procedures, tools and techniques for validation of the readiness of performance management.	Y	A	3/19/2013	Attachment G1, Section 4.3.2	<p>Optum will prepare as part of the Operational Readiness Plan the list of processes, tools and techniques for monitoring the various components of the AME DSS Solution including load times, storage capacity, query times, down times, and peak load periods. The primary objective of this activity is to meet the SLAs mutually agreed between the State and Optum.</p>	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T44.3	Prepare the validation of training, rollout support and operations support, communications plan and escalation procedures that must be in place.	Y	A	3/19/2013	Attachment G1, Section 4.3.2	<p>Optum will ensure the Operational Readiness Plan encompasses the validation of the key components:</p> <ul style="list-style-type: none"> • Training: Cross-reference of user list to training rosters to verify entire user community has been trained and attained satisfactory proficiency on the AME DSS tools • Rollout Support and Operations Support: Include steps to validate support preparations have been completed and verified. • Communications Plan: Verify updating the Communications Management Plan to reflect changes in process, meetings, and templates that need to be tailored specifically to Phase III. The Communications Management Plan will outline the roles and responsibilities of participants in the review, approval, and dissemination of information about key project processes, events, documents, and milestones. • Escalation Procedures: Validate the escalation procedures for handling all levels of issue severity are in place and desk checks have been performed and the BMC Footprints service desk software has been properly configured to route and report on issues to the appropriate group based on system component, severity and timeliness. 	Project Monitoring
T44.4	Ensure the criteria for a "back-out" plan during rollout is established and documented. Include the criteria as part of the Operational Readiness Plan checklist.	Y	A	3/19/2013	Attachment G1, Section 4.3.2	The Operational Readiness Plan will include the criteria and procedures for backing out of the implementation process.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T44.5	Conduct the last legacy data conversion and migration cycle to initialize the first production cycle of the production operating environment. Validate the results with the State.	Y	A	3/19/2013	Attachment G1, Section 4.3.2	The Operational Readiness Plan will include the steps for receiving the final data conversion from the MMIS to complete transition to the new AME DSS. The balancing processes defined for the data conversion process will be utilized to validate the final conversion and will be reviewed with the State.	Project Monitoring
T44.6	Certify in writing to the State the Project Components' operational readiness, including a report that documents the results of an Operational Readiness Review (ORR) held with the State.	Y	A	3/19/2013	Attachment G1, Section 4.3.2	After Optum has verified with DHS that the last legacy conversion and the initial Production data load is correct, and all other components of the Operational Readiness Plan have been successfully completed, Optum will conduct an Operational Readiness Review (ORR) with the State. Upon completion of the ORR, Optum will certify in writing and provide a report of the successful completion of the ORR.	Project Monitoring
T44.7	Provide in the ORR all contributing materials, artifacts, reports, and documentation, and subsequent actions and approvals resulting from the ORR.	Y	A	3/19/2013	Attachment G1, Section 4.3.2	Optum acknowledges and will comply with this requirement.	Project Monitoring
T44.8	The State acceptance of the ORR certification allows the Contractor to advance to the operations rollout.	Y	A	3/19/2013	Attachment G1, Section 4.3.2	After the above readiness activities are complete, Optum will request DHS approval to move the AME DSS into Production.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T45.1	The Contractor must assess the operations staffs, prepare an operations staff skills development plan for approval, then educate and train the eligible or qualified staff to accomplish the transfer of key knowledge and to raise the skill set proficiency in the operations.	Y	A	3/19/2013	Attachment G1, Section 4.3.3.2	The AME DSS Operations staff will be included in the audience of the AME DSS Training Plan to validate they are familiar with the source system data and its usage in the AME DSS data warehouse. In addition, AME DSS Operations staff will participate in the design, development, and implementation of the AME DSS. This gives the AME Operations staff the comprehensive knowledge needed for a smooth transition from Phase II to Phase III of the AME DSS Project.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T45.2	The Contractor must ensure that State personnel are trained along at the appropriate speed of implementation to mitigate the adverse impact of new technology on the conduct of State business.	Y	A	3/19/2013	Attachment G1, Section 4.3.3.2	Optum recognizes the vital role that a comprehensive training program will play in helping the AME DSS user community make effective use of the new suite of data access tools available as part of the AME DSS solution. We plan on training an initial group of users to support UAT and then rolling out training as users are able to use the DSS. In our experience training needs to occur very close to when users will begin using the DSS. Significant lags result in retraining. Our Training and Documentation Manager will monitor DSS availability and scheduling of users to get the best fit possible. We have included an AME DSS end user training program tailored to user classification profiles (executive, power, business analysts, and casual) to meet each of the State's training goals specified in the RFP. This approach will confirm users receive the right training for their needs and are able to successfully use the AME DSS to conduct State business.	Project Monitoring
T45.3	The Contractor must conduct training in accordance with the Training Plan.	Y	A	3/19/2013	Attachment G1, Section 4.3.3.2	Optum acknowledges and will comply with this requirement.	Project Monitoring
T45.4	The Contractor must coordinate all trainers, training manuals and materials, training locations, network connectivity, and equipment necessary to train the eligible and qualified State staff, and its designated stakeholders.	Y	A	3/19/2013	Attachment G1, Section 4.3.3.2	The Optum Training and Documentation Manager will make certain all trainers, training manuals and materials needed are available for training State and other Stakeholder staff participants.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T45.5	The Contractor must be responsible for loading and updating the Training Enrollment and Tracking System.	Y	A	3/19/2013	Attachment G1, Section 4.3.3.2	<p>Optum will utilize the Kaizen Software Solutions Training Manager software as our Training Enrollment and Tracking System. The Training Manager software provides several benefits to manage and streamline AME DSS training, including capability to:</p> <ul style="list-style-type: none"> • Track course information including version history and related documents • Schedule class sessions and send email reminders for upcoming training • Export reports in a variety of formats to send to managers or individuals • Print class rosters for students to sign and trainers to return for confirmation of attendance 	Project Monitoring, Systems Integration Test (SIT), Operations Readiness Test (ORT), and User Acceptance Testing (UAT) as described in Optum's Test and Evaluation Management Plan (TEMP)
T45.6	The Contractor must prepare the Training Completion Report certifying the individuals that have received Contractor-led training, how many enrollees have passed the State-approved proficiency test, and all individuals required to participate in additional training required to succeed.	Y	A	3/19/2013	Attachment G1, Section 4.3.3.2	The Training Manager software provides a central repository for storing and retrieving training records, allowing Optum to quickly provide transcripts and training compliance reports for individuals or groups to the State. The Kaizen Training Manager software will provide tracking of attendance and completion of the AME DSS training courses. It will also track participants have achieved proficiency or any that require additional training to succeed.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T46.1	System functionality continues to meet the specifications in the Functional Design Document).	Y	A	3/19/2013	Attachment G1, Section 4.3.3.3	Optum will verify that all aspects of system functionality defined for each module in the Functional Design Document are operational through all stepwise test plans and documented in the Operational Readiness Plan.	Project Monitoring, Systems Integration Test (SIT), Operations Readiness Test (ORT), and User Acceptance Testing (UAT) as described in Optum's Test and Evaluation Management Plan (TEMP)
T46.2	System performance (i.e., availability and response time) is being met according to State-designated service.	Y	A	3/19/2013	Attachment G1, Section 4.3.3.3	Optum will verify in the Operational Readiness Plan that all system performance SLAs are being met.	Project Monitoring
T46.3	All cases and related data maintained by that site have been successfully converted.	Y	A	3/19/2013	Attachment G1, Section 4.3.3.3	Optum will verify the successful completion of all data conversions from the MMIS source data.	Project Monitoring
T46.4	Local users have received appropriate training according to their roles as outlined in (Training Plan).	Y	A	3/19/2013	Attachment G1, Section 4.3.3.3	Optum will validate successful completion of all aspects of the AME DSS Training Plan.	Project Monitoring
T46.5	All user documentation has been delivered and is accessible to local users.	Y	A	3/19/2013	Attachment G1, Section 4.3.3.3	Optum acknowledges and will comply with this requirement.	Project Monitoring
T46.6	Contractor support-staff has been assigned to the site for support during and after cutover.	Y	A	3/19/2013	Attachment G1, Section 4.3.3.3	Optum will ensure the AME DSS user community is fully aware of support available and can easily access alternative communication methods to reach the AME DSS Service Desk during cutover and in Production.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T47.1	Impact on performance due to the additional load	Y	A	3/19/2013	Attachment G1, Section 4.3.3.5.1	Optum will implement processes for monitoring the various components of the AME DSS solution including load times, storage capacity, query times, network traffic, down times, and peak load periods. The primary objective of this activity is to meet the service level agreements described in RFP Attachment G1, Section 2.3.10 DSS Performance Standards.	Project Monitoring
T47.2	Continued effectiveness of M&O services	Y	A	3/19/2013	Attachment G1, Section 4.3.3.5.1	Optum acknowledges and will comply with this requirement.	Project Monitoring
T47.3	User feedback as to ease of use and support of the business process	Y	A	3/19/2013	Attachment G1, Section 4.3.3.5.1	The Service Desk staff will work with project management to identify trends in user feedback regarding the ease of use. We will work quickly to address any needs or issues identified by the user community.	Project Monitoring
T47.4	Adequacy of support tools, procedures, and documentation	Y	A	3/19/2013	Attachment G1, Section 4.3.3.5.1	The Service Desk staff will work with project management to identify trends regarding the adequacy of support tools, procedures and documentation. We will work quickly to address any needs or issues identified by the user community	Project Monitoring
T47.5	Impact on performance, including the delivery of client correspondence	Y	A	3/19/2013	Attachment G1, Section 4.3.3.5.1	Optum does not anticipate the delivery of client correspondence from the AME DSS.	Project Monitoring
T47.6	Impact on the ability to produce standard and ad hoc reports	Y	A	3/19/2013	Attachment G1, Section 4.3.3.5.1	As stated in the response to requirement T47.1, Optum will monitor query times and all aspects of system performance to ensure the service level agreements defined in RFP Attachment G1, Section 2.3.10 DSS Performance Standards are being met.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T48.1	Problem description and root cause	Y	A	3/19/2013	Attachment G1, Section 4.3.3.5.2	The Optum system development staff will conduct a thorough analysis of the affected component of the system. Optum's documentation of all test cases and scenarios will be researched through to the coding and configuration of the component to determine the root cause. The CAP will contain the problem description and root cause.	Project Monitoring
T48.2	Business processes, system functions, or interfaces impacted	Y	A	3/19/2013	Attachment G1, Section 4.3.3.5.2	All impacts on business processes, system function, or interfaces will be analyzed and included in the CAP.	Project Monitoring
T48.3	Potential risks to continue Statewide implementation	Y	A	3/19/2013	Attachment G1, Section 4.3.3.5.2	Optum's project risk management process is designed to document and track risk through a project lifecycle that could potentially disrupt implementation of the AME DSS. The risk management process also requires that a risk mitigation strategy be developed during the planning process to address such situations. If a deficiency is identified post-implementation, the Optum AME DSS project manager will first consult the Risk Management Plan for a potential solution. If the deficiency was not considered in the Risk Management Plan, the Optum project manager and staff will identify and document risk and mitigation strategies and include these in the CAP.	Project Monitoring
T48.4	CAP and implementation approach	Y	A	3/19/2013	Attachment G1, Section 4.3.3.5.2	Once the deficiency is identified, the Optum system development staff will determine the CAP and the implementation approach to resolve the deficiency as quickly as possible while minimizing the impact on AME DSS users.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T48.5	Schedule for completion and resources required/assigned	Y	A	3/19/2013	Attachment G1, Section 4.3.3.5.2	The Optum project manager will log, assess, and prioritize all identified corrective actions, which will be given high priority. Optum will assign issues to the team member or stakeholder who is in the best position to resolve the issue.	Project Monitoring
T48.6	State coordination and list of approving agents for corrective actions	Y	A	3/19/2013	Attachment G1, Section 4.3.3.5.2	Optum will submit the CAP to the required list of approving agents as defined by the State.	Project Monitoring
T48.7	Problem description and root cause	Y	A	3/19/2013	Attachment G1, Section 4.3.3.5.2	Optum acknowledges and will comply with this requirement.	Project Monitoring
T49.1	Deficiencies, defects, and issues encountered and their resolution	Y	A	3/19/2013	Attachment G1, Section 4.3.3.5.3	Optum will document all deficiencies, defects, and issues in the DevTrack defect tracking tool. The tool requires thorough documentation of the details of the cause and resolution of the issues. This information, in conjunction with the details in the CAPs will be provided for the Post-Implementation Summary Report.	Project Monitoring
T49.2	Lessons learned, especially issues and risks that will affect the successful completion of Phase IV (Initial Operation and CMS federal Certification)	Y	A	3/19/2013	Attachment G1, Section 4.3.3.5.3	Optum will meet internally with the State and key stakeholders, such as the Core Contractor to discuss the lessons learned from the AME DSS project. Optum will work with the State to assign a Severity Level 1 to any issue and activated risk that would potentially affect the successful completion of Phase IV.	Project Monitoring
T49.3	Recommendations for any improvements to the System	Y	A	3/19/2013	Attachment G1, Section 4.3.3.5.3	As stated in Proposal Volume G1, Section 1.2, Optum will continuously work to identify and make recommendations for improvements to the AME DSS.	Project Monitoring
T49.4	Need for any updates to the Project Management Plan for Phase IV	Y	A	3/19/2013	Attachment G1, Section 4.3.3.5.3	Optum will review and update the Project Management Plan throughout all phases of the AME DSS project.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T49.5	Need for any updates to the Security and Privacy Plan for Phase IV	Y	A	3/19/2013	Attachment G1, Section 4.3.3.5.3	The Optum Security and Privacy Plan is audited on a regular basis throughout the AME DSS project for any deficiencies or needed updates. This process is also performed in the event any incidents are identified. We will also perform this process prior to Phase IV.	Project Monitoring
T50.1	Verify the computing environments for production processing performance by following the plans and procedures outlined in the Performance Management Plan.	Y	A	3/19/2013	Attachment G1, Section 4.3.3.6	Optum will implement processes for monitoring the various components of the AME DSS solution including load times, storage capacity, query times, network traffic, down times, and peak load periods. The primary objective of this activity is to meet the SLAs described in RFP Attachment G1, Section 2.3.10 DSS Performance Standards.	Project Monitoring
T50.2	Document the process for facilitation of the performance verification, the procedures for capturing, analyzing, and reporting results, the acceptance criteria for the completion of Performance Verification Period, and the criteria for the Final Acceptance deliverable.	Y	A	3/19/2013	Attachment G1, Section 4.3.3.6	Optum will document in the Performance Management Plan the processes for monitoring the various components of the AME DSS solution including load times, storage capacity, query times, network traffic, down times, and peak load periods. The primary objective of this activity is to meet the SLAs described in AME DSS RFP Attachment G1, Section 2.3.10 DSS Performance Standards. In addition, Optum will document the acceptance criteria for the completion of the Performance Verification Period and the criteria for the Final Acceptance deliverable and document them in the Performance Management Plan.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T50.3	The Contractor must verify performance systematically measuring and reporting on performance using the metrics described in the Performance Management Plan deliverable.	Y	A	3/19/2013	Attachment G1, Section 4.3.3.6	Optum will implement processes for monitoring the various components of the AME DSS solution including load times, storage capacity, query times, network traffic, down times, and peak load periods. The primary objective of this activity is to meet the SLAs described in RFP Attachment G1, Section 2.3.10 DSS Performance Standards.	Project Monitoring
T50.4	The Contractor will work with the State to evaluate service level performance criteria and adjust the data capture points for the KPIs on a yearly basis or a mutually agreed.	Y	A	3/19/2013	Attachment G1, Section 4.3.3.6	Throughout the entire life of the contract, the service level and performance criteria to be monitored will be mutually determined and reported on a mutually agreed frequency.	Project Monitoring
T50.5	The computing infrastructures DR-BCCP "planned drill exercise" have been conducted.	Y	A	3/19/2013	Attachment G1, Section 4.3.3.6	Optum will provide verification for the State that the DR-BCCP drills have been successfully completed, any deficiencies have been corrected, and the DR-BCCP has been updated as needed.	Project Monitoring
T51.1	Contractor delivery of the SOW, a fully operational infrastructure and services. The Severity Level 1 and 2 incidents are resolved. Severity Level 3 incidents are identified on an exception list for remediation by the Contractor after Final System Acceptance. There are no known deficiencies or defects preventing the State from fulfilling its obligations.	Y	A	3/19/2013	Attachment G1, Section 4.3.3.7	Optum acknowledges and will comply with this requirement.	Project Monitoring
T51.2	The production operating environment has successfully executed its operations obligations for 90 consecutive calendar days without producing a Severity Level 1 or Level 2 incident.	Y	A	3/19/2013	Attachment G1, Section 4.3.3.7	Optum acknowledges and will comply with this requirement.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T51.3	The Contractor's DDI tasks, activities, deliverables, and milestones defined herein this RFP have been delivered and approved by the State.	Y	A	3/19/2013	Attachment G1, Section 4.3.3.7	Optum acknowledges and will comply with this requirement.	Project Monitoring
T51.4	The valid transfer of rights and ownership of any licenses and maintenance contracts have been assigned from the Contractor to the State.	Y	A	3/19/2013	Attachment G1, Section 4.3.3.7	Optum will procure any licenses and maintenance contracts in the State's name at the beginning of the AME DSS project.	Project Monitoring
T51.5	The transfer of all Project documentation and electronic repositories from the Contractor to the State has occurred.	Y	A	3/19/2013	Attachment G1, Section 4.3.3.7	Optum acknowledges and will comply with this requirement.	Project Monitoring
T51.6	The transfer of operational knowledge of the production operations has been successfully adopted and executed by the State (as assigned) for the fulfillment of the Medicaid obligations.	Y	A	3/19/2013	Attachment G1, Section 4.3.3.7	Optum acknowledges and will comply with this requirement.	Project Monitoring
T51.7	The exercise of one DR-BCCP drill has been conducted during the Performance Verification Period.	Y	A	3/19/2013	Attachment G1, Section 4.3.3.7	Optum acknowledges and will comply with this requirement.	Project Monitoring
T51.8	The delivery of the RTM, complete with referenced physical and observable evidence reflect the current production operating environment (Project Components and related services).	Y	A	3/19/2013	Attachment G1, Section 4.3.3.7	Optum will maintain all project requirements, including the RTM, in the DevTrack system (or outside of DevTrack in a separate stand-alone matrix document, as mutually agreed) to make certain they are monitored for accurate and timely completion throughout the AME DSS project. Optum will conduct a meeting with the State to review and demonstrate the requirements for the AME DSS are working as designed and documented in the Functional Design Document.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T52.1	The Contractor must create a schedule for CMS Certification activities and submit the schedule for State approval.	Y	A	3/19/2013	Attachment G1, Section 4.5.2	Optum acknowledges and will comply with this requirement.	Project Monitoring and Certification Readiness Test (CRT) as described in Optum's Test and Evaluation Management Plan (TEMP)
T52.2	The Contractor responsibility for planning and executing the CMS federal certification of the Project Components begins at Contract Start Date until federal Certification by CMS is achieved.	Y	A	3/19/2013	Attachment G1, Section 4.5.2	Optum acknowledges and will comply with this requirement.	Project Monitoring and Certification Readiness Test (CRT) as described in Optum's Test and Evaluation Management Plan (TEMP)
T52.3	The Contractor must guide the CMS federal certification by providing to the State the Certification Readiness Plan and Review Package deliverable to prove fulfillment of all certification requirements.	Y	A	3/19/2013	Attachment G1, Section 4.5.2	Optum acknowledges and will comply with this requirement.	Project Monitoring and Certification Readiness Test (CRT) as described in Optum's Test and Evaluation Management Plan (TEMP)

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T52.4	The Contractor must support certification by running reports, analyzing samples, providing walkthroughs and demonstrations, and providing completed system documentation to both the State and CMS.	Y	A	3/19/2013	Attachment G1, Section 4.5.2	Optum acknowledges and will comply with this requirement.	Project Monitoring and Certification Readiness Test (CRT) as described in Optum's Test and Evaluation Management Plan (TEMP)
T52.5	The Contractor must, with a written statement of intent to claim enhanced Federal Financial Participation (FFP), submit the Certification Review Package to the State. The State will be responsible for submitting the approved review package to CMS.	Y	A	3/19/2013	Attachment G1, Section 4.5.2	Optum acknowledges and will comply with this requirement.	Project Monitoring and Certification Readiness Test (CRT) as described in Optum's Test and Evaluation Management Plan (TEMP)
T53.1	Completion of the Certification Readiness meetings	Y	A	3/19/2013	Attachment G1, Section 4.5.6	Optum acknowledges and will comply with this requirement.	Project Monitoring and Certification Readiness Test (CRT) as described in Optum's Test and Evaluation Management Plan (TEMP)

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T53.2	Validation of System functionality using the Toolkit Checklists for guidance	Y	A	3/19/2013	Attachment G1, Section 4.5.6	Optum acknowledges and will comply with this requirement.	Project Monitoring and Certification Readiness Test (CRT) as described in Optum's Test and Evaluation Management Plan (TEMP)
T53.3	Pre-certification meeting and/or call with CMS	Y	A	3/19/2013	Attachment G1, Section 4.5.6	Optum acknowledges and will comply with this requirement.	Project Monitoring and Certification Readiness Test (CRT) as described in Optum's Test and Evaluation Management Plan (TEMP)
T53.4	CMS Certification visit	Y	A	3/19/2013	Attachment G1, Section 4.5.6	Optum acknowledges and will comply with this requirement.	Project Monitoring and Certification Readiness Test (CRT) as described in Optum's Test and Evaluation Management Plan (TEMP)

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T53.5	Completion of any remediation activities	Y	A	3/19/2013	Attachment G1, Section 4.5.6	Optum acknowledges and will comply with this requirement.	Project Monitoring and Certification Readiness Test (CRT) as described in Optum's Test and Evaluation Management Plan (TEMP)
T53.6	Certification of the System	Y	A	3/19/2013	Attachment G1, Section 4.5.6	Optum acknowledges and will comply with this requirement.	Project Monitoring and Certification Readiness Test (CRT) as described in Optum's Test and Evaluation Management Plan (TEMP)
T54.1	Notify the State in writing according to the Notices Section herein this RFP of its commitment to begin Project turnover and closeout planning, unless otherwise notified in advance by the State of the State's decision not to issue a renewal of the Contract for the next Contract Period.	Y	A	3/19/2013	Attachment G1, Section 4.6.1.1	Optum acknowledges and will comply with this requirement.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T54.2	Provide a listing of all System production jobs executed during the previous 12 months. The Contractor will provide this inventory list of System production jobs inventory list in a single, comprehensive, and complete listing to the State for review and approval. This documentation shall be updated and delivered to the State every month thereafter through the end of the Contract Term and shall be delivered via secure electronic media and/or secure transmission.	Y	A	3/19/2013	Attachment G1, Section 4.6.1.1	Optum acknowledges and will comply with this requirement.	Project Monitoring and Performance Management Test (PMT) as described in Optum's Test and Evaluation Management Plan (TEMP)
T54.3	Whenever requested in writing by the State, provide to the State operational performance statistics or copies of existing operational reports. Specific requested information must be delivered to the State no later than two weeks from the date of the written requests.	Y	A	3/19/2013	Attachment G1, Section 4.6.1.1	Optum will provide the performance statistics and operational reports through on-going reporting of DSS Performance Measures to meet the requirements in RFP Attachment G2, Section 2.10.3.	Project Monitoring
T54.4	Provide transfer Acceptance Testing support to both the State and the Successor Contractor within two State work days, unless given prior written approval by the State.	Y	A	3/19/2013	Attachment G1, Section 4.6.1.1	Optum acknowledges and will comply with this requirement.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T54.5	<p>The Contractor must provide to the Successor Contractor as requested by the Successor Contractor, the following:</p> <ol style="list-style-type: none"> 1. Provide the State System software, files, test data files, tables, System document copies, and all other documentation and information requested by the State to support at least two parallel tests and other testing as determined by the State 2. Provide assistance to the State with interpretation and analysis of test results 3. Provide any statistics requested by the State regarding the levels of accuracy of the System and its Components 4. Provide to the Successor Contractor any Department-owned and leased equipment in the Contractor's possession that is necessary to conduct acceptance testing, as long as this does not, in the judgment of the Contract Administrator, jeopardize meeting Contract requirements 5. Provide update/transaction files for all files required for delivery prior to the cessation of claims processing activities (Contract Term), so that the Successor Contractor's version will contain the same data as the Contractor's version. The updated files shall be delivered to the Contract Administrator weekly on the following Monday after each update 6. Provide to Successor Contractor certified production copies (certifying in writing that each is complete, current, accurate, and is what the Contractor uses for production) of each of the following via 	Y	A	3/19/2013	Attachment G1, 4.6.1.1	Optum acknowledges and will comply with this requirement.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
	a. Names of modules b. A listing identifying which, if any, modules are online and which, if any, are batch processed c. A directory listing of all programs on the requested file d. Data dictionary e. All other System software needed to execute the test f. All configuration parameters of all tools utilized to support the operation of the System g. All operational parameters to operate and support the operation of the System h. Any and all source-related components necessary to perform the Contract's SOW requirements, which shall be included in this requirement regardless of nomenclature.	Y	A	3/19/2013	Attachment G1, 4.6.1.1	Optum acknowledges and will comply with this requirement.	Project Monitoring
Table 55 Turnover Project Plan Requirements							Project Monitoring
T55.1	All the tasks, activities, durations, milestones, and deliverables associated with the Turnover process.	Y	A	3/19/2013	Attachment G1, Section 4.6.1.2	Optum acknowledges and will comply with this requirement.	Project Monitoring
T55.2	Work schedule of tasks, deliverables, and milestones to be performed during Turnover including timeline.	Y	A	3/19/2013	Attachment G1, Section 4.6.1.2	Optum acknowledges and will comply with this requirement.	Project Monitoring
T55.3	Narrative describing each task, deliverable, and milestone on the work schedule.	Y	A	3/19/2013	Attachment G1, Section 4.6.1.2	The Turnover Plan will include narratives for each task, deliverable, and milestone on the work schedule.	Project Monitoring
T55.4	Upon State approval of the Turnover Project Plan, the Contractor must provide a baseline of the turnover work schedule. The baseline will be utilized to provide any variances from the turnover work schedule.	Y	A	3/19/2013	Attachment G1, Section 4.6.1.2	The task dates in the Turnover project plan will be set as baseline dates in Microsoft Project when the Turnover project plan is approved by DHS. This process will provide the ability to determine any variances during the Turnover phase.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T55.5	Scheduled twice-weekly progress meetings, or more frequently if required, to be attended by Contractor and the State.	Y	A	3/19/2013	Attachment G1, Section 4.6.1.2	Optum acknowledges and will comply with this requirement.	Project Monitoring
T55.6	<p>Production of a written progress report summarizing by week within month of the progress. This report shall be delivered to the State within one week after each scheduled turnover progress meeting and include:</p> <ol style="list-style-type: none"> 1. Identities and job functions of the attendees at the Turnover monthly progress meetings 2. Agenda 3. Description of any progress made on each task, deliverable, and milestone, including any variance from the baseline if applicable for that period of time 4. Topics of general discussion at the monthly progress meetings 5. Action items and decisions made at the monthly progress meetings 6. List of all problems and issues encountered, risks identified and status of resolution of each problem, issue and risk (e.g., a CAP for each problem, issue and risk, and timeline for resolution) 7. Planned tasks, deliverables, and milestones for the following two months 8. Status of contractually defined tasks, deliverables, and milestones scheduled in the Turnover Project Plan. The status shall include any baseline variances 9. Any other information required by the State. 	Y	A	3/19/2013	Attachment G1, Section 4.6.1.2	Optum's Turnover Management Team Leader will submit to the State-designated project leader the progress report and updated project plan with updates from the previous status meeting within the required timeframe.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T55.7	Provide written notification to the State of the Contractor's named Key Personnel and staff identified to serve as the Contractor's Turnover Team.	Y	A	3/19/2013	Attachment G1, Section 4.6.1.2	Optum will assemble a Turnover Management Team 18 months prior to the end of the Phase V or immediately upon notification of contract termination, and will submit a letter to the State Project Manager requesting approval of the Turnover Management Team personnel.	Project Monitoring
T55.8	Include detail tasks, deliverables, and milestones for transitioning all work-in-progress at the point of Contract Period closeout.	Y	A	3/19/2013	Attachment G1, Section 4.6.1.2	Optum acknowledges and will comply with this requirement.	Project Monitoring
T55.9	Upon the State's approval in return, also written, the Contractor's Turnover Team must commence the Turnover Project Plan activities.	Y	A	3/19/2013	Attachment G1, Section 4.6.1.2	Optum will immediately commence turnover activities upon receipt of approval of the Turnover Project Plan.	Project Monitoring
T56.1	Review the inventory of all Project and operations checklist of artifacts as evidence of a completeness of closeout with the State and provide for its checklist certification of existence, and proper packaging and delivery for formal written acceptance by the State including Contract-related correspondence, tools and databases.	Y	A	3/19/2013	Attachment G1, Section 4.6.2	Optum acknowledges and will comply with this requirement.	Project Monitoring
T56.2	All System documentation listed shall include completed and State-approved assessment reports.	Y	A	3/19/2013	Attachment G1, Section 4.6.2	Optum acknowledges and will comply with this requirement.	Project Monitoring
T56.3	Establish all technical, operational, and support documentation is current and up-to-date, electronic and hardcopy deliverables. That all documentation is complete and accurately reflects the System and Services according to the Contractor's contractual documentation requirements.	Y	A	3/19/2013	Attachment G1, Section 4.6.2	Optum will maintain all system documentation throughout the life of the contract and provide that documentation and vendor documentation for all COTS products in both electronic and hardcopy media as available.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T56.4	Provide one comprehensive electronic copy of all documentation in a State- approved, accessible, and secure electronic media.	Y	A	3/19/2013	Attachment G1, Section 4.6.2	Optum acknowledges and will comply with this requirement.	Project Monitoring
T56.5	Submit the completed Turnover Status Report for the State's written approval.	Y	A	3/19/2013	Attachment G1, Section 4.6.2	Optum acknowledges and will comply with this requirement.	Project Monitoring
T56.6	<p>The Check-list and Documentation List must include a complete assessment of current status and a report for each of the following:</p> <ol style="list-style-type: none"> 1. Architectural Design 2. System Functional Design 3. Detailed Program Design 4. Detail Program Specifications 5. Data Descriptions 6. Data Element Dictionaries 7. Database Descriptions 8. Job and Process Scheduling 9. Computer Operations Procedures 10. User and System Documentation 11. Master List of all System manuals 12. An assessment of all System software 13. Documentation to facilitate successor-Contractor's understanding of overall standards, network bandwidth needs, hardware capacity, software needs, and network topology to transfer, operate, and maintain the System. 14. Master index of all records maintained by the Contractor pursuant to its records retention responsibilities that shall, for each record, include the name, span of dates covered, and volume and medium. 	Y	A	3/19/2013	Attachment G1, Section 4.6.2	Optum acknowledges and will comply with this requirement.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T56.7	Pursuant to the Cost Reimbursement provisions, lists of all costs reimbursed by the State by SFY: 1. Purchased or leased equipment and software 2. Print shop supplies, forms, and specifications used within the System 3. Reports for the end-of-Contract payments.	Y	A	3/19/2013	Attachment G1, Section 4.6.2	Optum acknowledges and will comply with this requirement.	Project Monitoring
T56.8	The format of the Turnover Status Report and all Contractor Closeout deliverables must be approved by the State within one month of the Contractor's notice or notice by the State to the Contractor.	Y	A	3/19/2013	Attachment G1, Section 4.6.2	Optum acknowledges and will comply with this requirement.	Project Monitoring
T56.9	In the event the State disagrees with the conclusions provided in the Contractor's Turnover Status Report, the State will provide written notice of the State's request for the Contractor's corrective action plan (CAP) and include a response time, which will be determined by the State.	Y	A	3/19/2013	Attachment G1, Section 4.6.2	Optum will complete any CAP associated with the Turnover Status Report in the time frame determined by the State.	Project Monitoring
T56.10	The Contractor must create a log of all problems, issues and action items with a brief chronology of the problem, issue, or action item. This log will include the identities and job functions of Contractor staff assigned to the problem, issue, or action item.	Y	A	3/19/2013	Attachment G1, Section 4.6.2	Optum will utilize the DevTrack system to maintain a log of any problems, issues, or action items during the Turnover process. Each issue will include the resource assigned to the item.	Project Monitoring
T56.11	The Contractor must post this log to the appropriate Project management tool or software approved by the State, and will be accessible by both the State and Contractor staff.	Y	A	3/19/2013	Attachment G1, Section 4.6.2	The DevTrack system will be used throughout the life of the contract. Optum staff will maintain the problems, issues and action items log and make it viewable by State staff.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T56.12	The turnover monthly status report must be used by the Contractor and State in monitoring and managing the Contractor's progress against the Turnover Project Plan scheduled tasks, deliverables and milestones, and for tracking Contractor Turnover deliverables and milestones submitted to the State for approval.	Y	A	3/19/2013	Attachment G1, Section 4.6.2	Optum will update the status report with the updates on the progress of scheduled tasks and deliverables, and to reflect the status of milestones and deliverables submitted by Optum for approval.	Project Monitoring
T56.13	The Turnover Status Report and log must be delivered to the State five State work days prior to each progress report meeting and must be current at the time of submittal.	Y	A	3/19/2013	Attachment G1, Section 4.6.2	Optum acknowledges and will comply with this requirement.	Project Monitoring
T57.1	Must exclude all Protected Health Information (PHI) or other confidential information, or information that will jeopardize security of the Technical Infrastructure as defined by the State.	Y	A	3/19/2013	Attachment G1, Section 4.6.3	Optum will work with the State to verify that any information that will jeopardize security and all PHI and other confidential information is excluded from the Turnover and Closeout deliverable.	Project Monitoring
T57.2	The State must have access and the capability to extract documents at one time, maintaining folder and file hierarchical structure and thereafter for updates and revisions.	Y	A	3/19/2013	Attachment G1, Section 4.6.3	Optum acknowledges and will comply with this requirement.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T57.3	Contractor must provide monthly updates, or updates as necessary, to fulfill the State's requests. The Contractor shall also produce a report that lists the changes occurring from the previously updated report. Release periods will be specified to the Contractor in writing by the State. Status changes of all documents will be denoted in the Release Report in a fashion that does not cause prospective successor contractor to review previous documents unnecessarily.	Y	A	3/19/2013	Attachment G1, Section 4.6.3	During the Turnover Phase Optum will exercise best efforts and cooperation for an orderly and efficient transition. We will produce a transition results report that documents completion of each step of the Turnover Plan. Optum will also, at no additional cost to the State, correct any malfunctions or omissions identified by the State as critical to transition throughout the transition period and up to 90 days after contract termination. The Release Report identifies any changes to previous reports to avoid the successor contractor reviewing documents unnecessarily.	Project Monitoring
T58.1	Develop mutually defined and agreed upon transition schedules; a detailed project plan of tasks, activities, milestones, deliverables and durations for transition to the Successor Contractor within the first month.	Y	A	3/19/2013	Attachment G1, Section 4.6.4	Optum will work with the successor contractor within the first month to develop a transition project plan that contains the transition tasks, activities, milestones and deliverables with associated durations.	Project Monitoring
T58.2	Comprehensive training to the Successor Contractor's management, supervisory, and technical staff as required for the successful transition to deliver Medicaid programs and services.	Y	A	3/19/2013	Attachment G1, Section 4.6.4	Optum acknowledges and will comply with this requirement.	Project Monitoring
T58.3	Training materials shall be based on the complete and current System and Services technical, operational, and support documentation and manuals required under this Contract.	Y	A	3/19/2013	Attachment G1, Section 4.6.4	Optum will provide most current training materials used for AME DSS end-user training for Successor Contractor training.	Project Monitoring
T58.4	Training sessions shall be completed no earlier than two months prior to the end of the Contractor's Contract Period.	Y	A	3/19/2013	Attachment G1, Section 4.6.4	Optum acknowledges and will comply with this requirement.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T58.5	Training shall include Contractor staff delivering hands-on instructional training, in combination with the Contractor's WBT as determined by the State.	Y	A	3/19/2013	Attachment G1, Section 4.6.4	Optum acknowledges and will comply with this requirement.	Project Monitoring
T58.6	In advance of delivering Successor Contractor training, the Contractor shall provide to the State the following: 1. A schedule of planned training sessions 2. A description of the professional background, experience, knowledge of the subject, and previous training experience for each trainer 3. Number of staff to be trained per area 4. Training subjects 5. Training methodology (including description of training material handouts and media format of this material) 6. Evaluation techniques 7. Length of each training session 8. Sample copies of material to be used in training sessions 9. Locations of training sessions	Y	A	3/19/2013	Attachment G1, Section 4.6.4	Optum Operations staff that performs AME DSS end user training will perform hands-on training for Successor Contractor staff. The training courses that are conducted will follow the AME DSS Training Plan and utilize materials, methodology and subjects covered in AME DSS training sessions.	Project Monitoring
T58.7	Work with the State and the Successor Contractor on developing a Staff Transition Plan.	Y	A	3/19/2013	Attachment G1, Section 4.6.4	Optum will develop a Staff Transition Plan with the State and Successor Contractor to define the approach for staffing and associated responsibilities that will be transferred from the incumbent to the successor contractor.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T58.8	Provide the State with required files, System software, and necessary services including the delivery of files and programs for Successor Contractor System and Services testing and State acceptance testing of the Successor Contractor's technical operations of the System as directed by the State.	Y	A	3/19/2013	Attachment G1, Section 4.6.4	All COTS products purchased as part of the AME DSS product will be licensed in the State of Arkansas' name when they are procured. Optum will provide all required files, COTS software, scripts and other programs developed for the AME DSS project.	Project Monitoring
T58.9	Provide any other files, documentation, records, transaction information, and assistance the State identifies as necessary for the orderly and successful transfer of the System to the Successor Contractor as directed by the State.	Y	A	3/19/2013	Attachment G1, Section 4.6.4	Optum acknowledges and will comply with this requirement.	Project Monitoring
T59.1	Confirm a documented transfer to the Successor Contractor all telecommunications network services, voice and data services used in the State's operations or confirm a documented termination of the same in the event the respective carriers or the State prohibit transfer. Inform the State of either action when taken and completed.	Y	A	3/19/2013	Attachment G1, Section 4.6.5	Optum acknowledges and will comply with this requirement.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T59.2	<p>Confirm a documented transfer of responsibility for all cost-reimbursed, purchased, or leased equipment to the Successor Contractor with the exact transfer dates determined by the State including:</p> <ol style="list-style-type: none"> 1. The exact date of this transfer shall depend on the needs of the State and the type of equipment 2. The equipment, all associated software, supplies, operating manuals, maintenance Contracts, and any and all documentation used in the System 3. Reassignment of the cost-reimbursement equipment/software lease/maintenance and software license contracts. 	Y	A	3/19/2013	Attachment G1, Section 4.6.5	Optum acknowledges and will comply with this requirement.	Project Monitoring
T59.3	<p>Confirm a documented transfer of all Project materials on a medium approved by the State. The Contractor will be required to supply all hardware and/or other medium required by the State in the transfer of data, files, and tables, and will be responsible for all associated shipping charges.</p>	Y	A	3/19/2013	Attachment G1, Section 4.6.5	Optum acknowledges and will comply with this requirement.	Project Monitoring
T60.1	<p>Financial Reconciliation.</p> <ol style="list-style-type: none"> 1. Final settlement of all Contractor invoices 2. Final reconciliation of all accounts receivables 3. Final assessment of any liquidated damages 4. An independent audit of the bank account by an entity with no contact or relationship with the Contractor 	Y	A	3/19/2013	Attachment G1, Section 4.6.6	Optum does not anticipate a bank account will be maintained or utilized by Optum on the State's behalf as a fiscal intermediary. Therefore, we do not anticipate an independent audit of a bank account will be applicable.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T60.2	Written Assessment of Contract Performance. The State will provide a written assessment of the Contractor's Contract performance for all Contract phases, including all Performance Monitoring System items during the operational phase of the Contract.	Y	A	3/19/2013	Attachment G1, Section 4.6.6	Optum acknowledges the State of Arkansas role and responsibility for this requirement.	Project Monitoring
T60.3	Resolution of Turnover Issues. 1. The Contractor must ensure that the System will be error-free and complete when turned over to the State or the designated successor to the Contractor. 2. The Contractor must correct, at no cost to the State, any malfunction that exists in the system prior to turnover, or that was caused by the lack of support by the Contractor, as determined by the State.	Y	A	3/19/2013	Attachment G1, Section 4.6.6	Optum will, at no additional cost to the State, correct any malfunctions or omissions identified by the State as critical to transition throughout the transition period and up to 90 days after contract termination.	Project Monitoring
T61.1	Notify the Contractor, through written notice, of the State's intent not to renew the Contract for System and Services 20 months prior to the end of the current Contract Period.	Y	A	3/19/2013	Attachment G1, Section 4.6.7	Optum acknowledges and will comply with this requirement.	Project Monitoring
T61.2	Review and approve a turnover plan to facilitate transfer of the System to the State or to its designated successor contractor.	Y	A	3/19/2013	Attachment G1, Section 4.6.7	Optum acknowledges and will comply with this requirement.	Project Monitoring
T61.3	Review and approve a statement of resources, which would be required to take over operation of the System.	Y	A	3/19/2013	Attachment G1, Section 4.6.7	Optum acknowledges and will comply with this requirement.	Project Monitoring
T61.4	Make State staff or designated agent staff available to be trained in the operation of the System.	Y	A	3/19/2013	Attachment G1, Section 4.6.7	Optum acknowledges and will comply with this requirement.	Project Monitoring
T61.5	Coordinate the transfer of System documentation (in hard and soft copy formats), software, and data files.	Y	A	3/19/2013	Attachment G1, Section 4.6.7	Optum acknowledges and will comply with this requirement.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T61.6	Review and approve a Turnover Results Report that documents completion of each step of the turnover plan.	Y	A	3/19/2013	Attachment G1, Section 4.6.7	Optum acknowledges and will comply with this requirement.	Project Monitoring
T61.7	Obtain post-turnover support from the Contractor in the event of software malfunction.	Y	A	3/19/2013	Attachment G1, Section 4.6.7	Optum will meet the requirements as described in Table 62 for contract closeout.	Project Monitoring
T62.1	The Contractor must provide a written statement listing the State facilities and assets for use to operate the System including: 1. Desktop Equipment 2. Meeting space 3. Work space 4. Special software 5. Copiers 6. Inventory, Supplies and Consumables 7. Ancillary equipment 8. Voice and Data Telecommunications Services and Support 9. Desktop and Conference Telephones 10. Conferencing Equipment	Y	A	3/19/2013	Attachment G1, Section 4.6.7	Optum acknowledges and will comply with this requirement.	Project Monitoring
T62.2	The Contractor must provide a written statement listing all the Contractor and State staff skill-sets, titles, and functions (resource requirements) based on the Contractor's volumes, experience, and 3rd party relationships devoted to the operation of the System.	Y	A	3/19/2013	Attachment G1, Section 4.6.7	Optum acknowledges and will comply with this requirement.	Project Monitoring
T62.3	The Contractor must provide a detailed organizational chart depicting the Contractor's total staff supporting the System operation.	Y	A	3/19/2013	Attachment G1, Section 4.6.7	Optum will provide a detailed organization chart of the Optum staff supporting AME DSS operations as part of the AME DSS documentation.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T62.4	The Contractor must provide training to the Successor Contractor staff in the operation of the System. Such training must be completed at least two months prior to the end of the contract.	Y	A	3/19/2013	Attachment G1, Section 4.6.7	Optum acknowledges and will comply with this requirement.	Project Monitoring
T62.5	The Contractor must provide updates or replacements for all data and reference files, computer programs, and all other documentation that will be required by the State or the Successor Contractor to execute parallel and acceptance tests.	Y	A	3/19/2013	Attachment G1, Section 4.6.7	All data in the AME DSS data warehouse will be provided to the Successor Contractor. All COTS products licensed for the State of Arkansas as part of the AME DSS project, and associated documentation will be provided to DHS.	Project Monitoring
T62.6	Any hardware and storage space required to operate the System that has been purchased and maintained by the Contractor under this Contract will become the property of the State at the termination of the Contract.	Y	A	3/19/2013	Attachment G1, Section 4.6.7	Optum acknowledges and will comply with this requirement.	Project Monitoring
T62.7	On a schedule to be determined by the State, the Contractor must package, insure, and deliver all hardware used in the System to a location in Arkansas designated by the State. The Contractor must pay all packaging, shipping, and shipping warranty costs to transport hardware to the State-designated location.	Y	A	3/19/2013	Attachment G1, Section 4.6.7	Optum acknowledges and will comply with this requirement.	Project Monitoring
T62.8	At a turnover date to be determined by the State, the Contractor must provide to the State or the Successor Contractor all updated computer programs, data, and reference files, and all other documentation and records as will be required by the State or its agent to operate the System in the production environment.	Y	A	3/19/2013	Attachment G1, Section 4.6.7	Optum acknowledges and will comply with this requirement.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T62.9	<p>The Contractor must provide all production documentation including, but not limited to, user and operations manuals, training materials, and system documentation (in hard and soft copy) needed to operate and maintain the System and the procedures of updating computer programs and other documentation.</p> <p>The Contractor must turn over all:</p> <ol style="list-style-type: none"> 1. Paper claims 2. Paper Provider files 3. Paper file maintenance forms 4. Financial paper records at a date determined by the State 5. Any other documents related to the Contract as requested by the State 	Y	A	3/19/2013	Attachment G1, Section 4.6.7	Optum does not anticipate it will be in possession of paper claims, paper provider files, and paper file maintenance forms.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T63.1	Data Center Operations Summary.	Y	A	3/19/2013	Attachment G1, Section 5.1	Pending discussion with the State, Optum plans to create a quarterly Data Center Operations Summary Report with tabs that contain content related to all of the required reports. Supporting documentation will be maintained and available for State review and audit.	Project Monitoring
T63.2	Security Management Summary, including a summary of incidents and violations that occurred during the reporting period.	Y	A	3/19/2013	Attachment G1, Section 5.1	Pending discussion with the State, Optum plans to report quarterly . In addition to the report of incidents and violations, Optum will report any changes made to the security infrastructure and the results of any security testing.	Project Monitoring
T63.3	Configuration Management Summary providing a high-level overview of any changes to the System baseline configuration.	Y	A	3/19/2013	Attachment G1, Section 5.1	We will use BMC Footprints Configuration Manager software to manage configuration items and to develop and maintain a configuration management database (CMDB). The Perforce software product will be used to provide software version control. We will use Footprints to produce and document changes to the System baseline configuration that we will develop into high level overviews. Optum will report on this quarterly, or as required by the State.	Project Monitoring
T63.4	Service Desk Activity Summary which shall provide an overview of Contractor response to all requests by State during the previous month, disposition of request, and any open issue.	Y	A	3/19/2013	Attachment G1, Section 5.1	Optum will provide a quarterly report on Service Desk Activity including number of tickets opened, number closed, counts of types of requests and identification of patterns of help desk service requests. As described in proposal Section 5.2.2 below, Optum will use BMC Footprints to track service desk activity and resolution and to generate reports sections to meet this requirement.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T63.5	Any identified issues and potential risks.	Y	A	3/19/2013	Attachment G1, Section 5.1	In the Quarterly Operations Report as a separate tab, Optum will identify any issues and potential risks to DSS operations. Optum will provide Performance Summary Report that meets requirements in Table 64.	Project Monitoring
T64.1	KPI and service level target and actual performance.	Y	A	3/19/2013	Attachment G1, Section 5.1	In the Quarterly Operations Report as a separate tab titled Performance Summary Report, Optum will report on KPIs and service level targets, identifying expected and actual performance. Optum will also identify any issues and potential risks to future KPI and SLA targets.	Project Monitoring
T64.2	Performance previous reporting period.	Y	A	3/19/2013	Attachment G1, Section 5.1	Optum acknowledges and will comply with this requirement.	Project Monitoring
T64.3	Compliance status.	Y	A	3/19/2013	Attachment G1, Section 5.1	Optum acknowledges and will comply with this requirement.	Project Monitoring
T64.4	For each KPI and service level reported as non-compliant: 1. Actions to be taken for non-compliant KPI and service level requirements 2. Estimated compliance 3. Status of resolution date.	Y	A	3/19/2013	Attachment G1, Section 5.1	Optum acknowledges and will comply with this requirement. Optum will provide Enhancements Summary Report that meets requirements in Table 65.	Project Monitoring
T65.1	Number of Enhancements by type.	Y	A	3/19/2013	Attachment G1, Section 5.1	The number of enhancements by type will be reported in the Quarterly Operations Report as a separate tab titled Enhancements. Optum will list and describe each enhancement.	Project Monitoring
T65.2	Number of active Enhancements (by current month, year).	Y	A	3/19/2013	Attachment G1, Section 5.1	The number of active enhancements will be reported in the Quarterly Operations Report as a separate tab titled Enhancements. Optum will report the number of open enhancements.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T65.3	Number of completed Enhancements (by current month, year).	Y	A	3/19/2013	Attachment G1, Section 5.1	The number of completed enhancements will be reported in the Quarterly Operations Report as a separate tab titled Enhancements. Optum will report the number of completed enhancements.	Project Monitoring
T65.4	Budget and schedule deviations.	Y	A	3/19/2013	Attachment G1, Section 5.1	Budget and schedule deviations will be reported in the Quarterly Operations Report as a separate tab titled Enhancements. Optum will report the number of budget and schedule deviations for the approved enhancements.	Project Monitoring
T65.5	Identified issues, proposed solution, and status.	Y	A	3/19/2013	Attachment G1, Section 5.1	Optum acknowledges and will comply with this requirement and identify in the Enhancements tab all issues, solutions and status related to approved enhancements. Optum will provide a Change Control Summary Report that meets requirements in Table 66.	Project Monitoring
T66.1	Number of Change Requests by type.	Y	A	3/19/2013	Attachment G1, Section 5.1	Optum acknowledges and will comply with this requirement and produce a Change Control Summary tab as part of the Quarterly Operations report. The Change Control section will identify and describe the number of change request and the type of change request.	Project Monitoring
T66.2	Number of active Change Requests (by current month, year).	Y	A	3/19/2013	Attachment G1, Section 5.1	Optum acknowledges and will comply with this requirement and identify in the Change Control section of the Quarterly Operations Report the monthly number of active change requests and their status, i.e. approved, pending, completed.	Project Monitoring
T66.3	Number of completed Change Requests (by current month, year).	Y	A	3/19/2013	Attachment G1, Section 5.1	Optum acknowledges and will comply with this requirement and identify in the Change Control section of the Quarterly Operations Report the monthly number of active change requests and their status, i.e. approved, pending, completed.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T66.4	Budget and schedule deviations.	Y	A	3/19/2013	Attachment G1, Section 5.1	Optum acknowledges and will comply with this requirement and identify in the Change Control section of the Quarterly Operations Report the monthly budget and schedule deviations.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
Table 72 General Technical Standards							
TS1.1	Ensure that all products covered by the Statement of Work (SOW) described in this Request for Proposal (RFP) are compliant with the Centers for Medicare & Medicaid Services (CMS) and Health Insurance Portability and Accountability Act (HIPAA) standards and requirements.	Y	A	3/19/2013	Attachment G1, Section 6.1	We will confirm that all products offered by Optum are compliant with CMS and HIPAA.	Project Monitoring and Certification Readiness Test (CRT) as described in Optum's Test and Evaluation Management Plan (TEMP)
TS1.2	Comply with Department of Human Services (the State) standards and the State of Arkansas standards.	Y	A	3/19/2013	Attachment G1, Section 6.1	Optum has reviewed the technical standards published on State's website as well as the State of Arkansas Technology Architecture. Optum is in compliance with these standards and the products being proposed for the AME DSS are in alignment with the vision defined in its strategic plan. These products include: <ul style="list-style-type: none"> • Informatica, a leading Extraction, Transformation, and Load software product • Oracle, the industry leading Relational Database Management Tool • IBM Cognos Business Intelligence, a COTS software product to provide analytics and business intelligence capabilities • Microsoft Office and SharePoint for collaboration 	Project Monitoring
TS1.3	Adopt standards as required under Title II, Subtitle F, Sections 261 through 264 of the HIPAA, Pub. L. 104-191. These standards require measures to be taken to secure this information while in the custody of entities covered by HIPAA as well as in transit between covered entities and from covered entities to others.	Y	A	3/19/2013	Attachment G1, Section 6.1	We validate HIPAA compliance by conducting regular risk assessments. Each organizational area within the company has compliance and privacy leads with acute awareness of the HIPAA requirements and responsibility for communicating areas of concern. Our HIPAA Compliance Program includes: <ul style="list-style-type: none"> • Dedicated resources to monitor HIPAA legislation and support timely implementation • An enforcement program to support HIPAA compliance and a training program that required for all employees • Monitoring of ongoing compliance with the components of HIPAA Administrative Simplification that have been promulgated by the U.S. Department of Health and Human Services thus far. Compliance processes are proprietary, but are included in our corporate Security Policies 	Project Monitoring and Certification Readiness Test (CRT) as described in Optum's Test and Evaluation Management Plan (TEMP)

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
		Y	A	3/19/2013		<p>Electronic Transactions and Codes Sets Regulations: At the corporate level, we have been compliant with the electronic transactions and code sets regulations since October 16, 2002. When the initial standards were updated in early 2003, we implemented the required revisions. We support transactions for which a national standard has been adopted, including:</p> <ul style="list-style-type: none"> • Professional claims and institutional claims • Eligibility (inquiry and response) • Claim status (request and response) • Enrollment and disenrollment • Claim payment and remittance advice • Premium payments • Referral, certification and authorization (request and response) <p>Privacy Regulations: At the corporate level, we have been compliant with the Privacy regulations since the April 14, 2003 compliance deadline and continue to monitor compliance on an ongoing basis.</p> <p>Security Regulations: We met the required compliance deadline of April 20, 2005 for compliance with the Security regulations. Ongoing efforts include:</p> <ul style="list-style-type: none"> • Conduct enterprise-wide HIPAA Security regulation risk assessment • Identify compliance criteria requirements which, combined with existing and potentially enhanced security measures, allow us to maintain HIPAA Security regulation requirements • Maintain a security awareness training program, providing regular and periodic training activities for all staff • Developed a Business Associate agreement that meets the HIPAA Security regulation requirements for our vendors. We have and are executing such agreements with vendors who access electronic protected health information (ePHI) 	
TS1.7	Support an architecture that incorporates Medicaid Information Technology Architecture (MITA) principles, the security requirements of the National Institute of Standards and Technology (NIST) and HIPAA, and the application or solution architecture principals of the National Health Information Technology (NHIT) such as Service Oriented Architecture (SOA), to take advantage of Commercial-Off-The- Shelf (COTS) products and allow for the reuse of system functionality among the various business functions.	Y	A	3/19/2013	Attachment G1, Section 6.1	<p>Optum's Arkansas Medicaid Enterprise (AME) Decision Support System (DSS) solution will provide a wide range of analytics as a service within the DSS. Our COTS-based approach provides the State with a significant advancement in MITA maturity and is aligned with MITA 2.01 objectives. We will work closely with CMS and the DHS to define and plan for future improvements in business, information and technology architectures. Our solution:</p> <ul style="list-style-type: none"> • Is built on best-of-breed COTS products whose vendors continue to independently upgrade their products to support changes and innovation in the market place • Is designed to support technological currency using an evergreen model, providing continual modernization capabilities to support implementation of innovative technologies, allowing the AME DSS to evolve as the health care market and technology evolve • Is extensible, allowing the integration of new COTS components to provide added functionality, as well as more and different users 	Project Monitoring and Certification Readiness Test (CRT) as described in Optum's Test and Evaluation Management Plan (TEMP)

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
TS1.9	Utilize rules-based, table-driven, modular, and reusable components.	Y	A	3/19/2013	Attachment G1, Section 6.1	<p>Our data warehouse approach uses modular and reusable rule and table driven analysis for various components.</p> <ul style="list-style-type: none"> • Our tabular Third Normal Form data base is designed for analytic use. In this environment, queries and reports are rule and table driven. The system, data, queries and results are all transparent. This approach encourages reuse of components. For example if there is a report to sum annual payments to individual Durable Medical Equipment (DME) providers built, a new report that sums for a different provider group transportation providers, for example, can be built by changing the business rule and underlying query from the codes for DME to transportation. • The Informatica ETL software provides the ability to create rules-based modules that can be reused for multiple extract, transformation, and load processes. This prevents having to write scripts that are not easily reused for other processes. The Informatica also provides predefined “maplets” and “worklets” to perform common functions such as validating date fields. Once any custom maplet or worklet component has been developed for a function in Informatica, it is easily reused for other processes, which provides consistency and improved accuracy over manual development. • Products, such as IMAR and ISUR are parameter-driven, so that the criteria needed to perform a process, such as running a management report, is easily entered by the end user and does not require any technical assistance. 	Project Monitoring and Certification Readiness Test (CRT) as described in Optum's Test and Evaluation Management Plan (TEMP)
TS1.10	Provide online, browser-based web capabilities with no client-component download(s) for all authorized end-users including Providers and Members.	Y	A	3/19/2013	Attachment G1, Section 6.1	<p>Our AME DSS solution includes a customized Web-based and robust DSS user interface based on COTS-based software. Our user interface, developed with IBM's Cognos BI software is a zero-footprint browser-based application that does not require any client-component downloads. It will follow Optum's established and managed procedure development and maintenance approaches. Using Cognos BI software, we will provide a single product architecture across a full range of business intelligence capabilities including query, reporting, dashboard, multi-dimensional analysis and DSS functionality. The AME DSS Web Portal can be made available to any users authorized by the State including providers and members. The portal provides a single sign-on access for authorized users to access functionality provided by the AME DSS. With the portal, users can find and reuse timely and relevant information and quickly locate and access documents and all of the AME DSS applications by searching or browsing.</p>	Project Monitoring, Systems Integration Test (SIT), Operations Readiness Test (ORT), and User Acceptance Testing (UAT) as described in Optum's Test and Evaluation Management Plan (TEMP)

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
TS1.11	Employ the best available tools and support open architecture software that is flexible and cost effective to modify and maintain.	Y	A	3/19/2013	Attachment G1, Section 6.1	<p>We propose a flexible data warehouse platform with dependent data marts that support industry-leading COTS business intelligence and data warehousing software that is flexible to meet the Department's needs and easy to modify and maintain.</p> <p>This first component of Optum's AME DSS solution that supports open architecture is our data warehouse. We will develop the AME DSS data warehouse using third normal form (TNF) models according to the Department's needs and specifications. This open architecture allows the Department to conform the information in the data warehouse according to its business processes, instead of the other way around. Being constrained by a predefined data model limits the Department's ability to respond to changing analytical needs, legislative requirements, and take advantage of new technology and software. The AME DSS data warehouse is designed to adapt and change independent of any hardware platform. It utilizes industry-leading Oracle database management software, which will allow integration with any ODBC-compliant software. The Informatica ETL software used to develop the processes to populate the AME data warehouse is also an industry-leading software product built on service oriented architecture.</p> <p>The IBM Cognos Business Intelligence software is an easy to use product that allows users to create reports in a single environment and distribute them to the enterprise. Users can create their own reports or modify existing reports without assistance. The software is highly configurable to the Department's needs.</p>	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
TS1.12	The contractor shall offer a platform that is scalable to accommodate growth in the future, with the understanding that the State will negotiate change orders to the contract for major system expansions.	Y	A	3/19/2013	Attachment G1, Section 6.1	As discussed in Proposal Attachment G2, Section 2 Integration Requirements, our combined hardware and software solution for the AME DSS is designed to be inherently scalable to meet current and future needs of the State. Our initial sizing design for the solution included an analysis of the expected number of users, performance requirements and storage requirements. We then designed a powerful, proven hardware and solution that meets the current capacity and performance requirements, and is easily expandable to cost-effectively address future growth or changes in the State's data management needs. In addition, our infrastructure hosting solution includes a technology refresh every three years at no additional cost to the State. This allows the DHS to take advantage of new technology over the life of the AME DSS contract and expand system capacity as needed. We acknowledge that the State will negotiate change orders to the contract for major system expansions. Our flexible approach to the design of the AME DSS will prove beneficial in minimizing the additional hardware costs associated with future system expansions.	Project Monitoring, Systems Integration Test (SIT), Operations Readiness Test (ORT), and User Acceptance Testing (UAT) as described in Optum's Test and Evaluation Management Plan (TEMP)
TS1.13	Support functionality to interface with multiple entities outside of the Contractor's System for exchange of information. (Note: Refer to Resource Library for a list of current Core System interfaces with the various input and output vendors.)	Y	A	3/19/2013	Attachment G1, Section 6.1	Our AME DSS solution will interface with multiple entities outside of the AME DSS. The data warehouse can incorporate data from external vendors through ETL processes and export data to external vendors through operational data store (ODS) functionality. Data exchange can be batch or highly dynamic. The AME DSS will support interfaces with the entities identified by the State as follows, and new entities as needed to support the State Medicaid Program including: <ul style="list-style-type: none">• CMS• APS Healthcare• Arkansas Department of Health• Blue Cross Blue Shield• Northrup Grumman• Arkansas Foundation for Medical Care• First Data Bank• First Health• HMS• SunGard• Qsource• SHARE• Palco	Operations Readiness Test (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
TS1.14	Incorporate the Contractor's System requirements and replicate all in-scope related business functionality of the legacy system.	Y	A	3/19/2013	Attachment G1, Section 6.1	Our design for the Optum AME DSS includes the functionality requirements articulated in the State's RFP. During the requirements validation process we will confirm with the State that all in-scope functionality contained within the legacy DSS is included in the design of the new AME DSS.	

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
TS1.15	Provide online capability to view all job-related execution output including all associated artifacts.	Y	A	3/19/2013	Attachment G1, Section 6.1	All tools proposed as part of the Optum AME DSS solution are Web-based and provide online capability to view all job related execution output and related artifacts.	Project Monitoring, Systems Integration Test (SIT), Operations Readiness Test (ORT), and User Acceptance Testing (UAT) as described in Optum's Test and Evaluation Management Plan (TEMP)
TS1.16	Comply with all HIPAA-compliant transactions and code sets in place in the State and those mandated by CMS as of the date of implementation for the Contractor's System, as well as Federal and State privacy and security requirements delineated in this Contract. Any HIPAA transactions and code sets not being implemented must be approved by the State in writing.	Y	A	3/19/2013	Attachment G1, Section 6.1	As discussed in our response to Identifier TS1.3, Optum is compliant with HIPAA transactions and code sets and the Federal privacy and security requirements. We have corporate-level security policies and procedures in place to make sure we remain in compliance with most current transaction sets, and Federal and State mandated security and privacy requirements. We will obtain approval from the State, in writing, if any HIPAA transactions and code sets are not being implemented.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
TS1.17	Use National Provider Identifier (NPI) logic as a key to indexing Providers in the Contractor's System and support a design that meets State design requirements.	Y	A	3/19/2013	Attachment G1, Section 6.1	The Optum AME DSS uses the National Provider Identifiers (NPI) as a key field in indexing providers. We will use a Joint Application Development (JAD) process during implementation to structure design discussions.	Project Monitoring, Systems Integration Test (SIT), Operations Readiness Test (ORT), and User Acceptance Testing (UAT) as described in Optum's Test and Evaluation Management Plan (TEMP)
TS1.18	Incorporate and use a Unique Client Directory (UCD) or identifier for Medicaid Members.	Y	A	3/19/2013	Attachment G1, Section 6.1	The AME DSS data warehouse has the ability to support the Unique Client Identifier and Directory approaches for Medicaid members provided from the MMIS. Our proposed ETL software tool, the Informatica Data Integration platform, supports this approach to	Systems Integration Test (SIT) as described in Optum's Test and

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
TS1.19	Have the capability to accept updates from the Core system on a periodicity that could be as often as per transaction.	Y	A	3/19/2013	Attachment G1, Section 6.1	The Informatica ETL software has the ability to load data on any frequency determined by the State, including a real-time/per transaction basis. This activity will include standard operations consisting of data loading and update jobs (i.e., ETL routines for data acquisition and data delivery). These jobs will run periodically (e.g. quarterly, monthly, weekly, per transaction) depending upon source data availability and data refresh requirements of the AME DSS solution and any data-dependent data marts.	Operations Readiness Test (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
TS1.20	Support the capability to implement changes to the Arkansas Medicaid business rules quickly and efficiently according to the assigned role of an end-user (e.g., Contractor, or by designated State staff).	Y	A	3/19/2013	Attachment G1, Section 6.1	In keeping with data warehouse design principles, the DSS framework has an open interface and uses a business rules approach to data loading, data organization and to query and reporting functions. Optum is committed to integration in a way that maximizes use of the AME DSS to return value to the State and its residents through improvements in cost, quality and outcomes in the Medicaid program. The AME DSS through both the Informatica ETL processing and IBM Cognos BI will be able to manage and change business rules through a Graphical User Interface (GUI) to accommodate changes in the AME program or users.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
TS1.21	Monitor critical pathways and process timelines and events through an integrated customer relations and workflow management function.	Y	A	3/19/2013	Attachment G1, Section 6.1	Our approach to project management and focus of customer relationships will be led by our Project Manager, Mr. Steven Grimshaw. He will use a Project Work Plan (a draft is included as Attachment B) The Project Work Plan will be continuously updated to reflect any changes in pathways, process, timelines, events or deliverables. BMC Footprints Incident and Problem Manager Software is used for AME Service Desk problem ticket capture, assignment, and escalation processes. BMC Footprints Configuration Manager software will manage configuration items for the project components of the AME DSS. It also supports the creation, management, and status reporting for the Configuration Management Database (CMDB).	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
2.1	Configuration Requirements Description						
TCR1.1	Store and display in layperson's terms all codified information (e.g., ICD-9 and ICD-10 code sets for Member access) and vocabulary as a service that can be leveraged enterprise-wide (i.e., terminology service).	Y	A	3/19/2013	Attachment G2, Section 2.1 Configuration Requirements	The flexible Optum data warehouse table design can accommodate all codified information, including both ICD-9 and ICD-10 code sets, extracted from the source system. The codified information will be used to look up the related code description when the data is loaded in the AME DSS. This will provide the user with the description for these data elements without having to refer to coding reference books. As part of the development of the meta-layer in Cognos any codified information can be linked to the narrative description. Users can select if they want to view the codes only or the codes linked to narrative layperson descriptions of codes. This integrates vocabulary as a service within the analytic environment.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
TCR1.2	Provide processes that allow business rules to be configured by a trained and authorized individual (not hard coded).	Y	A	3/19/2013	Attachment G2, Section 2.1 Configuration Requirements	Optum will utilize Informatica for business rule development for extraction, transformation, and loading processing for the AME DSS. Business rules will also be developed within a component of the proposed business intelligence ad-hoc reporting solution, Cognos to populated pre-defined data marts to enhance the ease of use of the AME DSS. Both the Informatica and Cognos tools are role-based, allowing only authorized individuals access to the business rules. These tools provide "codeless" configuration of the business rules using a graphical user interface for design and development of the configuration metadata. Optum's AME DSS project staff is a highly trained, experienced team that can accommodate any needed changes to the AME DSS business rules.	Performance Mangement Test (PMT) and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
TCR1.3	Provide business rule updates with an audit trail to see by whom and when the update was made.	Y	A	3/19/2013	Attachment G2, Section 2.1 Configuration Requirements	The Informatica software used by Optum to develop and modify business rules for the ETL processes stores all business rules maintenance information. This includes the indication of the ETL analyst who made the change and the date the change was made. Further, Optum's change management processes require any analyst making a change to any component of the AME DSS to complete detailed documentation about the modification for future reference and auditing purposes.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
TCR1.4	Use software version control procedures to: 1. Facilitate testing. 2. Facilitate analysis of resolutions. 3. Report and track discrepancies. The Contractor may input updated rules and algorithms and propagation into the technical computing environment's production operations, but the State is responsible for approval testing.	Y	A	3/19/2013	Attachment G2, Section 2.1 Configuration Requirements	Build and release/configuration management Perforce SCM software will be installed on the administrative server in the production environment and meets version control requirements as described below. Facilitate Testing. Perforce SCM software facilitates testing through automatic and seamless promotion of software versions between computing environments when testing has been completed and appropriate sign-offs have been received. This eliminates having to manually transfer code between computing environments, significantly lowering the risk of errors and inconsistencies. Facilitate Analysis of Resolutions. When users are working on a file in Perforce, a change list is opened. This change list consists of a list of files, corresponding revision numbers and changes that were made to the files, and any descriptions associated with the files. When files are checked back in, conflicts with changes made by other users are required to be resolved. The resolve process allows the user to compare files and overwrite the other file, keep the other file, or merge the files.	Project Monitoring, SIT, and UAT as described in Optum's TEMP.
TCR1.5	Support the ability to test business rules and procedures in a simulation environment.	Y	A	3/19/2013	Attachment G2, Section 2.1 Configuration Requirements	Optum will utilize many computing environments for the AME DSS project. These environments will allow business rules and procedures to be tested in a simulation environment to ensure optimal functionality prior to release.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
TCR1.6	Store all business rules maintenance (additions, modifications, deletions) as an audit trail history of business rule changes.	Y	A	3/19/2013	Attachment G2, Section 2.1 Configuration Requirements	The Informatica software used by Optum to develop and modify business rules for the ETL processes stores all business rules maintenance information. It includes the indication of the ETL analyst who made the change and the date the change was made. Further, Optum's change management processes require any analyst making a change to any component of the AME DSS to complete detailed documentation about the modification for future reference and auditing purposes.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)

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TCR1.7	Ensure all business rules are date driven by a "from" and "through" designation.	Y	A	3/19/2013	Attachment G2, Section 2.1 Configuration Requirements	The Informatica ETL software is highly configurable, and allows business rules to be developed using "from" and "through" date ranges to be accommodated.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
TCR1.8	Enable users to simultaneously open and view multiple screens and switch between screen views.	Y	A	3/19/2013	Attachment G2, Section 2.1 Configuration Requirements	The proposed Cognos reporting tool for the AME DSS is web-based, and allows users to open multiple internet browser sessions to access multiple screens. Users can quickly switch between multiple screens for the AME DSS reporting tool using the Microsoft Windows convention of simultaneously pressing ALT-TAB, as well as any other applications, such as the MMIS	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
TCR1.9	Display information associated with each screen such that no horizontal screening is required by users in order to view information (vertical scrolling is acceptable, but not horizontal scrolling) and no visual impairment results (e.g., screen enlargement may create visual impairment for a user).	Y	A	3/19/2013	Attachment G2, Section 2.1 Configuration Requirements	All of the Business Intelligence tools that we are proposing are industry-standard COTS products that we will customize, as they allow, to meet project requirements. These tools allow us to tailor the design of the user interface in most instances to meet user requirements. As part of our design services we will develop our solutions so that they do not allow horizontal scrolling nor create visual impairment. If one of the tools does not provide us the ability to tailor any screen to meet this requirement we will meet with the State to review the options and we will develop a solution that is acceptable to the State.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
TCR1.10	Support a solution that is scalable and preserves State-approved customizations. The Contractor must meet the following requirements: 1. The hardware must be appropriately sized to handle the State's transaction traffic and volume at the State accepted performance levels in each of the Contractor's computing environments.	Y	A	3/19/2013	Attachment G2, Section 2.1 Configuration Requirements	Optum carefully analyzed the sizing requirements for the AME DSS for the number of users, performance requirements, and storage capacity needed to accommodate the current and future needs of the State. We designed a hardware solution to meet these current and future needs and will provide a platform that will easily accommodate any needed expansion.	Project Monitoring, SIT, and UAT as described in Optum's TEMP.
TCR1.10	2. Perform regular maintenance and enhancements to ensure optimum performance.	Y	A	3/19/2013	Attachment G2, Section 2.1 Configuration Requirements	Optum's data center processes include regular server management and support functions to ensure the smooth operation of the AME DSS. These processes include: a) Installation of patches and critical operating system updates, b) Regular review and analysis of operating system and database performance logs, reports and alerts, and c) Preventative maintenance such as clearing swap and cache files, removing orphaned, temporary, or expired files, performing disk defragmentation, etc.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
TCR1.10	3. Configurations must easily accommodate future changes in the State, changes in standards and transactions and increased volume of processing.	Y	A	3/19/2013	Attachment G2, Section 2.1 Configuration Requirements	Optum designed a hardware solution to meet current and future needs and provide a platform that will easily accommodate any needed expansion due to changes in standards, transactions, and volumes.	Project Monitoring, SIT, and UAT as described in Optum's TEMP.
TCR1.10	4. Provide performance benchmarks in order to properly size the hardware requirements prior to implementation.	Y	A	3/19/2013	Attachment G2, Section 2.1 Configuration Requirements	Prior to execution of the Technical Infrastructure Plan, Optum will confirm the hardware sizing with the State to make certain that the planned configuration meets the required performance benchmarks for the AME DSS.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
TCR1.10	5. Perform resource capacity utilization and capacity planning.	Y	A	3/19/2013	Attachment G2, Section 2.1 Configuration Requirements	Hardware and database performance will be monitored as a function of the server management processes. The results of this monitoring and analysis will be used for capacity utilization and planning.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
TCR1.10	6. Implement needed expansions before 90% of maximum capacity is reached at the Contractor's own expense.	Y	A	3/19/2013	Attachment G2, Section 2.1 Configuration Requirements	Optum proposes a hardware solution based on the anticipated future growth needs for the AME DSS based on historical information provided in the AME DSS RFP. If the results of the AME DSS hardware and database performance monitoring indicate that 90 percent of capacity is being reached, Optum will work with the State to analyze the growth pattern to determine the source for the unanticipated demand. Since Optum is proposing a hardware solution where the State will own the hardware at the conclusion of the contract, we will work with the State to determine the approach to purchasing any upgrades should they be required.	Project monitoring and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
TCR1.10	7. The State will own any software or components that are designed, or developed, or improved with Federal Financial Participation (FFP).	Y	A	3/19/2013	Attachment G2, Section 2.1 Configuration Requirements	Optum will track for the State any software that is designed, developed, and improved with FFP and agrees that the State will own the software and components.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
TCR1.10	8. The Contractor will agree in writing to grant the State at no additional cost a perpetual (Royalty Free and non-transferable) license(s) for the use of any proprietary software for the continuous use of the AME DSS until a turnover and Contract close-out is complete and Final Acceptance of the replacement Contractor's solution is successfully approved by the State.	Y	A	3/19/2013	Attachment G2, Section 2.1 Configuration Requirements	Optum will provide end-user license agreements for all software that grants the State at no additional cost a perpetual (Royalty Free and non-transferable) license(s) for the use of any proprietary software. This will be for the continuous use of the AME DSS until a turnover and Contract close-out is complete and final acceptance of the replacement Optum solution is successfully approved by the State.	Project Monitoring
TCR1.10	9. Any DSS hardware or software, including licensed software, will be acquired in such a manner that it may interface with the State's Core System.	Y	A	3/19/2013	Attachment G2, Section 2.1 Configuration Requirements	Optum will provide a COTS-based solution, built on industry-leading hardware and software including Cognos and Informatica, for the AME DSS. This approach will help make certain that the components for the AME DSS interface with the State's Core System. These components, combined with Optum's flexible data model, will provide the State the ability to easily incorporate additional source systems in the future.	Project monitoring and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
TCR1.10	10. Ensure all DSS hardware, software or communications components installed by the Contractor for use by State are compatible with the State's DSS-related Technical Infrastructure Plan, infrastructure assets, and inter-domain interfaces.	Y	A	3/19/2013	Attachment G2, Section 2.1 Configuration Requirements	Optum has verified that all DSS hardware, software or communications components being proposed for use by State are compatible with the State's DSS-related Technical Infrastructure Plan, infrastructure assets, and inter-domain interfaces.	Project monitoring and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
TCR1.10	11. DSS version upgrades must be applied in a controlled manner to prevent disruption to State business services and Stakeholders' operations.	Y	A	3/19/2013	Attachment G2, Section 2.1 Configuration Requirements	Optum brings significant experience to the process of DSS version upgrades in the following ways: a) our well-defined and tested release management methodology provides the needed consistency and repeatability* to the critical process of implementing DSS releases. Please refer to Proposal Attachment G1, Section 4.1.2.3 for details on Optum's approach to Release Management for the AME DSS; b) we will utilize Perforce, a leading Software Configuration Management (SCM) to implement DSS version upgrades. This tool provides an automated approach and methodology to the managing new DSS releases to ensure accuracy and completeness. These processes and tools provide the State certainty that DSS releases minimize disruptions to State business services and Stakeholder's operations, and; c) We will apply our testing methodology to thoroughly test, in conjunction with review and approval from the State, all DSS version upgrades to verify their functionality and validate that they meet the State's requirements.	Project monitoring and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
TCR1.10	12. Contractor must coordinate DSS operating system changes with the State- impacted operations.	Y	A	3/19/2013	Attachment G2, Section 2.1 Configuration Requirements	The operating system upgrades for AME DSS components will also be controlled via the BMC Footprints Configuration Manager and Incident and Problem Manager software. Optum will perform these processes within predefined maintenance windows and with all required prior notification to the user community in the event of any impact on State operations.	Project monitoring and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
TCR1.11	In the event the DSS Solution and Services fail to meet the uptime availability requirements, the Contractor will furnish replacement equipment of equal or greater capacity having the required characteristics with no increase in cost to the State. The replacement equipment will be subjected to the same acceptance criteria as for all other components and services provided as part of the Contractor's compliance with the requirements of this RFP.	Y	A	3/19/2013	Attachment G2, Section 2.1 Configuration Requirements	Optum will secure support and maintenance contracts on all equipment purchased for the AME DSS project. In the event that uptime availability requirements are not within the DSS Performance Standards specified AME DSS RFP Attachment G2, Section 2.10.3, we will work with the support vendor to correct issues preventing meeting the uptime standards. If these efforts do not correct the situation, we will pursue replacement of the defective equipment through the applicable manufacturer support and warranty agreements.	Project monitoring Performance Monitoring Test (PMT) and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
TCR1.12	Provide data exchange technologies that support current industry standards for data exchange.	Y	A	3/19/2013	Attachment G2, Section 2.1 Configuration Requirements	The Informatica ETL tool proposed by Optum is the industry leading software product for data exchange functionality. Informatica solutions for data exchange offer a comprehensive management and monitoring environment that allow organizations to aggregate, exchange, and share data. The solutions provide universal transformation for all data formats, including unstructured data, industry standards data, XML, and proprietary formats. Organizations can easily integrate the volume and variety of data while streamlining secured information exchange across channels.	Project monitoring and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
TCR1.13	Utilize automated tools measuring hardware, software, and network performance for proactive system monitoring, tuning mechanisms, reporting, and trend analysis. Performance monitoring alerts must be configurable and allow for user notification using multiple communication methods.	Y	A	3/19/2013		The data center Optum is proposing to host the AME DSS utilizes high-performance Network Analysis Modules (NAMs) offer proactive monitoring and quick troubleshooting that provides data center engineers with visibility into all layers of the network. This enables analysis of traffic flows for applications, hosts, and network-based services.	Project monitoring and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
2.2	Environmental Requirements						

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
EF1.1	Provide the following computing environments: 1. Unit Testing. 2. System Testing. 3. System Integration Testing. 4. Regression Testing. 5. End-to-End Integration 6. User Acceptance Testing (UAT). 7. Parallel Testing. 8. Final Acceptance 9. Model Office or Simulations.	Y	A	3/19/2013	Attachment G2, Section 2.1 Environmental Requirements	Optum will provide the following computing environments: 1. Unit Testing. 2. System Testing. 3. System Integration Testing. 4. Regression Testing. 5. End-to-End Integration 6. User Acceptance Testing (UAT). 7. Parallel Testing. 8. Final Acceptance 9. Model Office or Simulations.	Project Monitoring
EF1.1.1	Ensure the End-to-End, UAT, Parallel, Final, and Model Office environments replicate the full features and functionality of the State's production operations environment. Any determined need for "production" data for supporting testing will be approved in writing by the State.	Y	A	3/19/2013	Attachment G2, Section 2.1 Environmental Requirements	As described in EF1.1, we will confirm that End-to-End, UAT, Parallel, Final, and Model Office environments will replicate the full features and functionality of the State's production operations environment. The test environments will be partitioned from the production environment but will reside on the same hardware within the data center. Testing is best conducted on the same environment to ensure the solution and environment pass the Operational Readiness Review requirement.	Project monitoring and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
EF1.2	Demonstrate that End-to-End, UAT, Parallel, Final, and Model Office environments test environments can meet production capability but not affect production data.	Y	A	3/19/2013	Attachment G2, Section 2.1 Environmental Requirements	End-to-End, UAT, Parallel, Final, and Model Office environment test environments will not affect production data because our solution partitions off the testing environments and separate databases will be created within the Oracle test server.	Project monitoring and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
EF1.3	Provide the capability for regression testing that supports complete system life cycle testing.	Y	A	3/19/2013	Attachment G2, Section 2.1 Environmental Requirements	Many different testing methodologies are used by Optum so that a quality solution is implemented, as all testing strategies have their strengths and weaknesses. Testing is an on-going process with many intermediate steps to check progress and accuracy of data and processes. Our comprehensive testing approach will include a number of testing efforts including regression testing, volume, stress, and performance testing; and data consistency and validation testing. Regression testing allows a consistent, repeatable validation of each new release. Such testing confirms that reported defects have been corrected for each new release and that no new quality problems are introduced in the maintenance process. When a code problem has been fixed, a regression test verifies that the defect is in fact fixed. Regression testing is also the counterpart of integration testing: when new code is added to existing code, regression testing verifies that the existing code also continues to work correctly.	Project monitoring and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
EF1.4	Support the ability to test and implement two concurrent releases on a monthly basis.	Y	A	3/19/2013	Attachment G2, Section 2.1 Environmental Requirements	The tools and methodologies proposed by Optum will provide the capability to test and implement two concurrent releases on a monthly basis if needed. These include: DevSuite testing management and tracking software greatly improves the efficiency and accuracy of testing and issue management; Perforce software configuration management (SCM) will be used to control the movement of AME DSS system artifacts between computing environments and into the Production Reporting Environment. The use of Perforce SCM software will also allow the computing environments to be designed to support multiple releases which would be extremely difficult if not impossible to do manually.	Project monitoring and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
EF1.5	Track test cases that have expected results documented to show that the proposed change does not introduce other changes that produce unwanted results.	Y	A	3/19/2013	Attachment G2, Section 2.1 Environmental Requirements	Optum will execute all test cases to verify the correctness and completeness of the system. Successful execution of the test plan confirms a robust and complete migration capability. Our testing team will direct system testing activities and operate the AME DSS solution as defined by the appropriate test plans. We will provide for error resolution and technical support throughout system testing activities to facilitate the successful execution of the system test plan.	Project monitoring and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
EF1.6	Allow for setup of test cases for positive and negative testing and configurations that enable testing new capabilities that are not yet in production.	Y	A	3/19/2013	Attachment G2, Section 2.1 Environmental Requirements	The DevSuite testing management software provides the ability to setup test cases according to user specifications. The use of DevSuite in conjunction with computing environments such as Preproduction and Model Office can be used to replicate the Production Reporting Environment for testing of new capabilities not yet in production	Project monitoring and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
EF1.7	Ensure that all data being stored or exchanged meets the federal and State standards for protected health information (PHI) and accidental disclosure. This includes off-network storage and backup operations and any other accessible "data at rest" or "data in transit" assets.	Y	A	3/19/2013	Attachment G2, Section 2.1 Environmental Requirements	We know how important it is to implement appropriate controls to protect PHI data. The AME DSS will encrypt all data that contain confidential information "at rest" or "in transit" with a 128-bit industry recognized encryption standard that is in compliance with State and Federal standards. The AME DSS is based on an n-tier architecture. All the traffic from the user layer to the Database Layer will also be encrypted using 128-bit industry-recognized encryption standard.	Project monitoring and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
EF1.8	Manage, by Phase, all computing environments throughout the Contract Period.	Y	A	3/19/2013	Attachment G2, Section 2.1 Environmental Requirements	Optum will manage and maintain all computing environments throughout the life of the Contract Period. Optum is proposing to host the AME DSS solution in our data center located in Chaska, Minnesota. This data center is a 66,000 square foot commercial-grade, Tier 3 facility that is designed and constructed to the highest standards, and will provide superior capabilities for hosting the AME DSS computing environments and network hardware. Using our company-owned data center facilities for the AME DSS solution, versus subcontracting to a third-party hosting vendor, provides additional benefit to the State. Optum's AME DSS Project management team has direct access to data center infrastructure management and resources which supports a more streamlined implementation process and quicker resolution to problems that may arise during operation.	Project monitoring and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
EF1.9	Provide concurrent access to all computing environments as authorized by the State for all Stakeholders.	Y	A	3/19/2013	Attachment G2, Section 2.1 Environmental Requirements	Optum will work with the State to design security access to the appropriate individuals for each computing environment. The COTS-and web-based design of Optum's proposed AME DSS will allow users to open multiple sessions. Each session will be able to access a separate computing environment and allow users to easily move between them.	Project monitoring and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
EF1.10	Provide for a regression test environment executing valid versions of batch programs and files and online application for use with new releases and non- release changes to a production computing environment.	Y	A	3/19/2013	Attachment G2, Section 2.1 Environmental Requirements	Optum will provide an End-to-End Regression test environment. This environment will be able to accommodate separate versions of batch processes, such as the Informatica software ETL processes. This computing environment will also be used to support initial operational testing of the data warehouse tables, reporting artifacts in addition to ETL and data conversion processes. The End-to-End computing environment is where testing of all components, not just those that have been modified, will be conducted. This is to ensure that no errors or unforeseen impacts have been introduced to the system as part of a modification or enhancement. Any modification to these processes can be configured to test any requested change as it moves through the all testing steps and the system development lifecycle.	Project monitoring and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
EF1.11	Provide a library of use cases, test cases, and associated datasets that may be selected and modified by the user for testing.	Y	A	3/19/2013	Attachment G2, Section 2.1 Environmental Requirements	DevTest contains a centralized library that stores test cases and associated datasets that can be re-used and revised, providing for test standardization.	Project Monitoring. Optum's Test and Evaluation Management Plan (TEMP) final version will include these elements
EF1.13	Provide search capability for the test case library that is cross-referenced to the logic/edit that the identified test case is designed to test.	Y	A	3/19/2013	Attachment G2, Section 2.1 Environmental Requirements	DevTest Test Templates are easily edited, copied, and duplicated so that changes in the design or functionality of a feature can be easily accommodated. In DevTest all test coverage is based on test templates that are stored and managed in a central repository. Using DevTest, Optum can organize all AME DSS test templates in test coverage tree structures by application, release, and functional area.	Project monitoring and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
EF1.14	Provide the ability to execute impact analysis testing of any proposed change.	Y	A	3/19/2013	Attachment G2, Section 2.1 Environmental Requirements	From the DevTest interface, testers can create new test coverage from requirements, link these tests to automated scripts and then schedule and execute those tests. When defects are found, testers can submit defects with mapped test data directly into DevTrack. Having all of the tools and data available via one convenient interface increases test productivity and efficiency.	Project monitoring and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
EF1.15	Provide the ability to create hypothetical scenarios and compare results between scenarios in a test environment.	Y	A	3/19/2013	Attachment G2, Section 2.1 Environmental Requirements	DevTest was specifically designed so that teams could not only standardize the test data they track but also to promote re-use of existing test coverage. Test coverage re-use is especially important to ensure consistency and enable comparison between scenarios. DevTest test templates allow Optum to standardize test coverage and re-use tests where components share the same requirements or functionality. Using DevTest allows scenarios to be created once and then tested within and across scenarios and computing environments. Results for specific sections can then be viewed on a scenario-by-scenario basis.	Project monitoring and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
EF1.17	Provide the ability to save and reuse all test cases and associated test datasets without the need to re-enter the data.	Y	A	3/19/2013	Attachment G2, Section 2.1 Environmental Requirements	DevTest test templates are easily edited, copied, and duplicated so that changes in the design or functionality of a feature can be easily accommodated. In DevTest all test coverage is based on test templates that are stored and managed in a central repository. Using DevTest, Optum can organize all AME DSS test templates in test coverage tree structures by application, release, and functional area.	Project monitoring of Test and Evaluation Management Plan
EF1.18	Allow for testing of all development projects before and after implementation.	Y	A	3/19/2013	Attachment G2, Section 2.1 Environmental Requirements	Optum's test environment, system development lifecycle and testing methodology requires full and complete testing and approval of all changes as they are developed and implemented.	Project monitoring of Test and Evaluation Management Plan

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EF1.22	Provide analysis of production versus test results (e.g., field level compares with reporting).	Y	A	3/19/2013	Attachment G2, Section 2.1 Environmental Requirements	Test scenarios and cases can be designed to compare to testing results to current production to validate that programming logic and configuration in the test environment are working correctly. The balancing processes that Optum will design for the AME DSS will also validate test results against product results	Project monitoring of Test and Evaluation Management Plan
PIU1.14	Provide the maintenance, security, and operation of all DSS applications and databases.	Y	A	3/19/2013	Attachment G2, Section 2.1 Environmental Requirements	Optum Operations Support staff will provide the services necessary to meet the State's system availability and operational requirements and provide maintenance and support of the solution. The Operational Support and Maintenance services Optum will provide includes: a) Operations Support Staff; b) System Operations; c) On-going Data Operations; d) Performance Monitoring; e) Operations and Maintenance Improvement; e) Service Desk; and f) On-going Training.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
2.3	Network Requirements						
NET1.1	Comply with State computer application and network security policies (e.g., Active Directory authentication, data encryption, bandwidth, etc.).	Y	A	3/19/2013	Attachment G2, Section 2.3 Network Requirements	Optum will comply with computer application and network security policies specified in State of Arkansas State Network Policy (document PS-60), Data and System Security Classification Standards (document SS-70-001) and Encryption Standard (document SS-70-006).	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
NET1.3	The Contractor will supply network support staff required for Contractor's DSS-related applications and system administration that are in State facilities or part of Contractor's Scope of Work.	Y	A	3/19/2013	Attachment G2, Section 2.3 Network Requirements	Optum is hosting the AME DSS solution in the UnitedHealth Group Chaska, MN data center. This data center will provide network support capabilities and system administration to connectivity and hardware operations issues. Optum's AME DSS Service Desk will serve as the first point of contact for any issues related to the operation and usage of the AME DSS.	Project Monitoring
NET1.4	Contractor's network performance support staff must be available to assist the State (i.e., DIS) to help triage and resolve services issues.	Y	A	3/19/2013	Attachment G2, Section 2.3 Network Requirements	Optum is hosting the AME DSS solution in the UnitedHealth Group Chaska, MN data center. This data center will provide network support capabilities and system administration to connectivity and hardware operations issues. Optum's AME DSS Service Desk will serve as the first point of contact for any issues related to the operation and usage of the AME DSS. If an issue is determined to be related to network performance, Optum's Service Desk and UnitedHealth Group data center staff will work with State staff to isolate the location of any network problem between the State network and the high-speed connection to the UnitedHealth Group Chaska, MN data center.	Project Monitoring
NET1.5	Provide network access using Single Sign-on (SSO). Single sign-on (SSO) is a session or end-user authentication process that permits an end-user to enter one name and password in order to access multiple applications. The process authenticates the user for all the applications they have been given rights to and eliminates further prompts when they switch applications during a particular session.	Y	A	3/19/2013	Attachment G2, Section 2.3 Network Requirements	Our solution will use leading COTS software products and the Oracle database, all front-ended by a portal and a single sign-on (SSO) component using Lightweight Directory Access Protocol (LDAP) and role-based security options. Optum has significant experience in systems integration and will integrate all of the proposed components in a manner that provides the best combination of security and ease of administration. The design will include the implementation of system management capabilities to provide a highly flexible and effective, yet easy-to-manage, environment.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
2.4	Usability and Accessibility Requirements						
U&A1.1	Provide web-based portals for user access that requires no desktop software except the State-standard version web browser.	Y	A	3/19/2013	Attachment G2, Section 2.4 Usability and Accessibility Requirements	Optum will provide a Web Portal interface for the AME DSS. This is a common, secure, web-based portal, which will allow users to quickly access the applications and reports that Optum will implement for the AME DSS. With the portal, users can find and reuse timely and relevant information, and quickly locate and access documents and all of the AME DSS applications by searching or browsing.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
U&A1.3	Design a web-based portal subject to State approval with input from the State during all phases of the Contract.	Y	A	3/19/2013	Attachment G2, Section 2.4 Usability and Accessibility Requirements	Optum will work closely with the State on design and approval of the layout of the AME DSS web portal.	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
U&A1.4	Web-based portals as end-user interfaces must provide for resizing of windows to accommodate different display sizes and resolution without truncating the windows.	Y	A	3/19/2013	Attachment G2, Section 2.4 Usability and Accessibility Requirements	IBM Cognos 10 BI software utilizes a variety of web browsers for its user interface. The resizing of browser window will automatically resize the Cognos window being displayed without any truncation.	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
U&A1.5	Support performance across both slow and high speed Internet connections with ability to toggle between slow and high speeds modes.	Y	A	3/19/2013	Attachment G2, Section 2.4 Usability and Accessibility Requirements	AME DSS will automatically support any level of internet connection performance. The system does not require the user to specify the connection speed that is being used or to select between slow and high speed modes.	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
U&A1.6	Provide end-user access and availability in accordance with the Service Level Agreements (SLAs) included in this RFP.	Y	A	3/19/2013	Attachment G2, Section 2.4 Usability and Accessibility Requirements	Optum will meet end-user and availability requirements specified in AME DSS RFP Attachment G2, Section 2.10.3 DSS Performance Standards.	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)

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U&A1.8	Provide error messages and alerts to authorized users on status of application interfaces and portal data processing (i.e., when processing is completed or errors occur).	Y	A	3/19/2013	Attachment G2, Section 2.4 Usability and Accessibility Requirements	The AME DSS web portal will contain a section for Announcements. This section will contain a link to the results of the latest data load processing, with information for users on the completion of the data load and if any errors that affect users were encountered. Optum's data loading and balancing procedures require that if any errors are encountered that may affect the accuracy of the data in the AME DSS, then the data not be released to users until the errors have been corrected.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
U&A1.11	Provide web-based portal functionality including:	Y	A	3/19/2013	Attachment G2, Section 2.4 Usability and Accessibility Requirements	Optum acknowledges and will comply with this requirement. Optum has provided web-based portal functionality as part of Optum DSS installations in other states.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
U&A1.11	1. Online, context-sensitive help.	Y	A	3/19/2013	Attachment G2, Section 2.4 Usability and Accessibility Requirements	Cognos provides a Help function on each page within the application. When a user clicks on the Help function, the information that is displayed is relevant to the application function or page being accessed. This prevents the user from having to search through an entire user manual to obtain information. This capability is available from the beginning of the project.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
U&A1.11	2. Hovering.	Y	A	3/19/2013	Attachment G2, Section 2.4 Usability and Accessibility Requirements	A helpful feature in Cognos is the Tooltip. When a user hover the mouse over a column header, information about that column is displayed. This is similar to an Excel "Comment." Tooltips can be created for any text column, an expression or data item.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
U&A1.11	3. Hypertext links.	Y	A	3/19/2013	Attachment G2, Section 2.4 Usability and Accessibility Requirements	the web portal provides hyperlinks to access the components of the AME DSS, including applications, documentation, standard reports, announcements, and information. This familiar format for web pages makes navigating the AME DSS easy and intuitive for users.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
U&A1.11	4. Drop down lists and menus.	Y	A	3/19/2013	Attachment G2, Section 2.4 Usability and Accessibility Requirements	Cognos provides selection based interactivity in a variety of methods, depending on the design that is most conducive for the user interface. These methods include drop down lists, selection menus, prompts, calendar and radio buttons.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
U&A1.11	5. Point and click.	Y	A	3/19/2013	Attachment G2, Section 2.4 Usability and Accessibility Requirements	Cognos is designed using point and click navigation. Users can tab through fields, or utilize their mouse to point-and-click on a field, or to indicate their selection from a drop-down list.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
U&A1.11	6. "Forward" and "Back" navigation.	Y	A	3/19/2013	Attachment G2, Section 2.4 Usability and Accessibility Requirements	The user interfaces designed within Cognos contains buttons within the windows to guide users through he navigation of report creation and execution. Users have the ability to move forward and backward through these processes using these buttons.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
U&A1.11	7. Copy, Cut and paste.	Y	A	3/19/2013	Attachment G2, Section 2.4 Usability and Accessibility Requirements	Cognos supports the copy, cut and paste functions.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
U&A1.11	8. Shortcut Keys (Ctrl+P, Ctrl+S, etc.).	Y	A	3/19/2013	Attachment G2, Section 2.4 Usability and Accessibility Requirements	Keyboard shortcuts, or shortcut keys, provide users with an easier and often faster method of navigating and using software allowing use of the keyboard instead of the mouse for some actions. Keyboard shortcuts are usually accessed by using the Alt, Ctrl, or Shift keys in combination with other keys. Cognos supports most Microsoft Windows shortcut keys, and also provides additional shortcuts within the software, such as F1 to access the Help function.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
U&A1.11	9. Drag and Drop.	Y	A	3/19/2013	Attachment G2, Section 2.4 Usability and Accessibility Requirements	Arkansas users can use Cognos Query Studio to create queries in a simple, user-friendly drag and drop environment, where users see the selection of data elements, time periods, etc., and choose their selection criteria in a Windows like graphical interface query mode. Query Studio is generally used to: a. View data. Connect to a data source to view data in a tree hierarchy and expand the query subjects to see query item details. b. Create reports/queries. Use the data source to create and save new ad hoc reports or modify an existing report. c. Work with data in a report. Select filters, summaries, and calculations to compare and analyze data. The drill-up and drill-down features allow users to view related information.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
U&A1.11	10. Bookmarking with appropriate title and title tags.	Y	A	3/19/2013	Attachment G2, Section 2.4 Usability and Accessibility Requirements	Users can bookmark an IBM Cognos entry in their Web browser so that later they can quickly perform the default action associated with the entry. For example, using a report bookmark, users can view the most recent report output, run the report, or open it in an authoring tool.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
U&A1.11	11. Customized views of web pages (i.e., bookmarking inside the browser).	Y	A	3/19/2013	Attachment G2, Section 2.4 Usability and Accessibility Requirements	Users can bookmark an IBM Cognos entry in their Web browser so that later they can quickly perform the default action associated with the entry. For example, using a report bookmark, users can view the most recent report output, run the report, or open it in an authoring tool. Capability is available from the beginning of the project, implementations will take place as past of the DDI phase under an approved Project Work Plan.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)

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U&A1.12	Ensure the DSS and services end-user access has online help to include the following categories: 1. General DSS Information. 2. DSS User's Manual with context-sensitive links. 3. DSS Technical Documentation with context sensitive links. 4. Data Element Look-up or Dictionary 5. Other State-defined resources.	Y	A	3/19/2013	Attachment G2, Section 2.4 Usability and Accessibility Requirements	Links to all AME DSS documentation are made available to be accessed via the AME DSS portal. Users can click on the link to each document to access the documentation on-line. These documents can include, but are not limited to: 1) General DSS Information; 2) DSS User's Manual with context-sensitive links; 3) DSS Technical Documentation with context sensitive links; 4) Data Element Look-up or Dictionary; and 5) Other State-defined resources.	Project Monitoring, SIT, and UAT as described in Optum's TEMP.
U&A1.13	The DSS help functions must be configurable for changes, independent of the DSS component "product" or executable software or "code".	Y	A	3/19/2013	Attachment G2, Section 2.4 Usability and Accessibility Requirements	The Cognos help content can be enhanced with additional customized content. This does not require any modification to the product itself, or any executable software or code.	Project Monitoring, SIT, and UAT as described in Optum's TEMP.
U&A1.14	Provide online prompting to assist users in data entry. Data fields will have preprogrammed keying formats to ensure that data formats are recorded correctly.	Y	A	3/19/2013	Attachment G2, Section 2.4 Usability and Accessibility Requirements	Removed in AME DSS RFP SP130079 Addendum 4	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
U&A1.15	Provide "Screen Print" functionality that creates a user-friendly formatted print of screens including identifiable computing device characteristics such as terminal ID, current date and time stamp, business area ID specific to the application being used (e.g., Member, Provider, benefits, reference data, claim types, PAs, change management, Coordination of Benefits (COB) and financial).	Y	A	3/19/2013	Attachment G2, Section 2.4 Usability and Accessibility Requirements	Any report that is developed in Cognos can be printed by a user, instead of having to rely on screen print functionality. Reports can be designed with customized header and footer that contain information such as date and time, business or content contained in the report. A user ID can be included in a report heading also to identify the user who executed a report; however Terminal ID is not available for inclusion in a report header or footer.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
U&A1.15.1	The user must have the ability to select identifiable end-user or application information as printing options on the printed document. The layout for these formatted prints must be approved by the State.	Y	A	3/19/2013	Attachment G2, Section 2.4 Usability and Accessibility Requirements	Optum will work with the State during the Requirements Analysis task in the AME DSS Phase II to review and approve the fields and formats of reports available for printing.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
U&A1.16	"Screen Print" function must be a security-assigned privilege of the end-user role, or access via an administrative function authorized by the State.	Y	A	3/19/2013	Attachment G2, Section 2.4 Usability and Accessibility Requirements	The report printing function is controlled at the user level within Cognos. Optum will work with the State to determine print access for each user account. The print functionality within a user's web browser would be controlled for State of Arkansas Department of Information Systems.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
U&A1.17	Provide online view access of a common, integrated, fully attributed data dictionary.	Y	A	3/19/2013	Attachment G2, Section 2.4 Usability and Accessibility Requirements	The complete data dictionary will be developed as part of the AME DSS project, which will contain a comprehensive listing of all data in the AME DSS. The information will include the data element name, definition, data type, source location, table location, among other attributes. The AME DSS Data Dictionary will be accessible through a hyperlink on the web portal for easy access by users.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
2.5	Technical Coordination						
TC1.1	Provide DSS technical support to the State for development of SOA interfaces for exchange data services and include the concept as an integral part of system maintenance and development and technical training.	Y	A	3/19/2013	Attachment G2, Section 2.5 Technical Coordination	Optum's proposed architecture is in precise alignment with Arkansas' architectural vision. Optum proposes to use COTS products that are SOA compliant in major data warehouse functions.	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
TC1.2	Provide DSS technical support to the State for MITA maturity compliance and the State's effort to achieve a higher level of MITA maturity through the functions enabled herein this RFP.	Y	A	3/19/2013	Attachment G2, Section 2.5 Technical Coordination	Optum not only has deep experience working with customers to perform State Self-Assessments (SS-A) but also to build data platforms that move them to the highest levels of maturity possible. Implementation of the proposed data warehouse solution will be a significant change to the environment subject to the SS-A. Following implementation, Optum will work with Arkansas State staff and contractors to update the assessment and provide technical support to the State for MITA maturity compliance. We will participate in regular reviews of the MITA SS-A conducted by the State to determine if changes to Medicaid Enterprise operations need to be reflected in the MITA SS-A. Our change management and documentation process will provide an opportunity to review changes to the EMS that need to be incorporated into MITA SS-A reviews. Every six months we will regularly review the change management process and recommend updates to the MITA SS-A results.	Project Monitoring
TC1.3	Provide DSS technical and operational and support requirements reviews with the State, and authorized Stakeholders, including DIS staff including ad-hoc reporting.	Y	A	3/19/2013	Attachment G2, Section 2.5 Technical Coordination	During Phase II of the AME DSS project, Optum will conduct requirements analysis sessions with all AME DSS stakeholders and State staff including the Department of Information Systems. These requirements sessions will cover the topics needed to design, develop, and operate the AME DSS, including technical, operational, support, and ad-hoc reporting requirements. These requirements will be documented and a General System Design (GSD) will be produced for review and approval by the State. Once the GSD is approved, Optum will commence with the detailed design of all components of the AME DSS. Optum will then develop and deliver the Functional Design Document, which will be the specifications used for the development and operation of the AME DSS.	Project Monitoring

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TC1.4	Validate DSS interface requirements with the Core System's exchange data services (SOA; ESB) requirements for application to the State and its Stakeholders.	Y	A	3/19/2013	Attachment G2, Section 2.5 Technical Coordination	Optum will work with the Core contractor to develop the DSS interface requirements and the availability of utilizing SOA and ESB design principles to obtain data for the AME DSS. The Informatica ETL solution, that Optum is proposing, provides for SOA and the missing but critical technology foundation for delivering trustworthy, actionable, and authoritative data as a service. Optum can accommodate direct access, exchange data service, or receiving the Core system data feeds via Secure File Transfer Protocol (SFTP) from the Core Contractor.	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
TC1.5	Validate local and remote access to State network connections for authorized use by DSS end-users.	Y	A	3/19/2013	Attachment G2, Section 2.5 Technical Coordination	A separate network zone will be created that will allow access to applications and analytic marts such as Symmetry. Only authorized users that have already passed through multiple firewalls will have access to the applications. In addition to network security, each application will also access limitations that are user-based, role-based, or a combination of both. Only authorized users presenting valid credentials will have access to the applications.	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
TC1.6	Establish DSS role based security protocols for all authorized end-users or groups.	Y	A	3/19/2013	Attachment G2, Section 2.5 Technical Coordination	Application Security and Data Security will not be embedded within the developed applications. All security processes will exist outside the application and will be dependent upon user profiles and physical points of access. This will prevent users from accessing data they do not have rights to, no matter what application is being used to attempt the access. Optum will implement a security policy based on user profiles and roles. Only authorized users will have access to applications and data. This access will be defined to comply with state and federal guidelines. Additionally users will be required to change their passwords on a routine basis. This policy will be approved by the State and enforced through automated means.	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
TC1.7	Provide and confirm technical training objectives have been met as part of the operational readiness checklist and preparations.	Y	A	3/19/2013	Attachment G2, Section 2.5 Technical Coordination	Optum will conduct security training as part of all user training sessions and will make available on-line materials for interim training. Training will focus on the underlying principles, laws, and regulations, as well as the security requirements and features of the AME DSS. We will keep a record of all persons accessing the system and cross reference it to training logs to validate that all users receive security training.	Project Monitoring
2.6	Training Requirements						
TR1.1	At a minimum, DSS training requirements will address the following areas:	Y	A	3/19/2013	Attachment G2, Section 2.6 Training Requirements	Optum acknowledges and will comply with this requirement and will address all listed training requirements.	Project Monitoring
	1. General training	Y	A	3/19/2013	Attachment G2, Section 2.6 Training Requirements	For any of the courses, the training focus will not be solely on the technology (product/tool features and functions). A strong emphasis will be placed on understanding and effectively using the tools to access Medicaid and Medicaid-related data on the AME DSS and applying both technology and knowledge gained in the user's particular business. Making the data actionable in everyday user working situations is the goal of training. Training will be conducted using a dedicated training environment on the AME DSS with a subset of the tailored, PHI-compliant DHS Medicaid data -- i.e., hands-on exercises that use data or business examples that are relevant to DHS business units. With our tailored training approach, our goal is to help State users quickly gain efficiency in the use of the new AME DSS and to assist them in performing their duties faster, making them better analysts. The subset of data in the training environment allows learning of the technology to proceed faster while offering a familiar dataset to the end user. Our courses are targeted within the broad user community of Executives, Causal Users, Business Analysts, and Power Users and are part of AME DSS initiative. It is anticipated that the AME DSS Training Program will consist of the following courses, grouped into three categories: • Introductory and Standard Analytics • Exploratory Analytics • Advanced Analytics	Project Monitoring
	2. Training facility	Y	A	3/19/2013	Attachment G2, Section 2.6 Training Requirements	In general all courses will be conducted in the training center at the Optum office. Exceptions to this may be State request or a need to conduct multiple training sessions in parallel. Optum has provided for a training facility in its process to procure DDI office space. The DDI office space will be used for operations as well. As described in our proposal, we are prepared to execute a lease at project commencement for space with occupancy to begin 60 days after contract award as specified. We are planning occupancy for 10/29/2013	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
	3. Training staff	Y	A	3/19/2013	Attachment G2, Section 2.6 Training Requirements	Our training program is augmented with highly skilled training resources who are not just training instructors, but are also subject matter experts and business analysts. They will be involved in conducting Training JAD sessions, preparing training course materials, preparing the Training Plan, and delivering many of the training classes. Ms. Ann Nurenberg, our key training and documentation specialist, has developed and maintained customer training materials most recently for the Michigan and California. Ms. Nurenberg has delivered training for many state Medicaid data warehouse and DSS programs including Michigan, New York and California, and has helped develop hundreds of productive AME DSS users. In addition, we will have subject matter experts like Mr. Steve Quaal, our Business Solution Manager, available to support training activities. With our team's combined knowledge and experience, they can provide insights and different perspective to analyses for State users throughout the training.	Project Monitoring
	4. Training materials	Y	A	3/19/2013	Attachment G2, Section 2.6 Training Requirements	For course offered we will develop and provide syllabi, proficiency a formal training guide, incorporating training examples, class exercises, evaluation forms for quality control reviews and producing and a Users' reference manual. Our training courses will be offered through a variety of interface including on-line, and face to face. We will customize the delivery of training materials for the interface. We will also make all training materials available through the AME DSS user portal. We will begin developing materials related to training at project commencement, expect to submit the training plan 12/4//2013.	Project Monitoring
	5. State staff training			3/19/2013	Attachment G2, Section 2.6 Training Requirements	Our Training Plan will address State staff to be trained and the periodicity of training roll out for them. The list of State staff included in the training plan will be validated against requests for access to the DSS and DSS components to insure that staff using the system are trained to use it. We will track progress in our training of State staff against the plan. We will update the plan to include new State staff eligible for as they become part of the pool of State personnel targeted for training.	Project Monitoring
TR1.2	Develop or employ a Commercial Off-the-Shelf (COTS) product to create and present online training courses and track enrollment and progress.	Y	A	3/19/2013	Attachment G2, Section 2.6 Training Requirements	Optum will utilize Microsoft PowerPoint to design on-line training courses. Microsoft PowerPoint provides the capability to develop interactive presentations and to deliver the information in a clear, easy-to-use manner. Optum will utilize the Kaizen Software Solutions Training Manager software as our Training Enrollment and Tracking System. The Training Manager software provides several benefits to manage and streamline AME DSS training, including capability to: <ul style="list-style-type: none"> • Track course information including version history and related documents • Schedule class sessions and send email reminders for upcoming training • Export reports in a variety of formats to send to managers or individuals • Print class rosters for students to sign and trainers to return for confirmation of attendance 	Project monitoring and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
TR1.3	Produce course presentation materials and hard-copy classroom materials using software and media approved by State.	Y	A	3/19/2013	Attachment G2, Section 2.6 Training Requirements	In our other DSS installations, training materials have been produced as MS Office documents. If the State approves, we will continue to incorporate it into the Training Plan. If the State specifies a different set of tools, we will adapt our materials to that standard.	Project Monitoring
TR1.4	Furnish training rooms with and maintain appropriate hardware, software, and telecommunications to support the development, maintenance, and presentation of Contractor's training programs and materials.	Y	A	3/19/2013	Attachment G2, Section 2.6 Training Requirements	Training facility requirements have been considered, addressed and included in this proposal.	Project Monitoring
TR1.5	Equip the training facility to provide an effective learning environment with appropriate desks, chairs, computers, tables, whiteboards, easels and flip charts, projector and screen, teleconference phone, and network access.	Y	A	3/19/2013	Attachment G2, Section 2.6 Training Requirements	Our Optum training staff is experienced in creating effective learning environments. Our Documentation and Training Manager is experienced in designing and conducting training but has also brings the perspective of having worked for state government. With our experience conducting training for our Optum DSS customers, we are very sensitive to training structure needs and have incorporated the need for desks, chairs, computers, easels, white boards, flip charts, projectors, screens, printers, teleconferencing and network access into our planning.	Project Monitoring
TR1.6	Provide a detailed training plan, curricula, and syllabi for State approval that addresses the Contractor's DSS solution, initial and ongoing training, including how ongoing training will be managed, for both Contractor and the State individuals. Training plans must be updated annually.	Y	A	3/19/2013	Attachment G2, Section 2.6 Training Requirements	We will produce a draft training plan for State approval that includes syllabi, curricula, evaluation questionnaires and reference materials. We will execute the plan upon State approval. We will update the Training Plan as needed.	Project Monitoring

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TR1.7	Provide the State with the training-related requirements to include Key Personnel defined in Attachment A as specified in this RFP.	Y	A	3/19/2013	Attachment G2, Section 2.6 Training Requirements	We will use our Business Analysis Manager and Technical Solution Manager to assist in explaining analytic problems in the curriculum development and in explaining underlying technical considerations. As part of our development of the draft and final Training Plan, we will identify roles and level of effort for key staff personnel.	Project Monitoring
TR1.8	Post training schedules on the web portal and generate training correspondence for users that do not have access to the web portal.	Y	A	3/19/2013	Attachment G2, Section 2.6 Training Requirements	Optum acknowledges and will comply with this requirement.	Project monitoring and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
TR1.9	Provide an interactive forum to allow users to submit questions concerning the State's use and provide responses to those questions. Track frequent questions and maintain a frequently asked questions (FAQ) site on the web portal.	Y	A	3/19/2013	Attachment G2, Section 2.6 Training Requirements	Help desk staff will assist in answering frequently asked questions and in identifying issues that can be answered through a FAQ site or through training.	Project monitoring and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
TR1.10	Implement CBT and WBT as a training tutorial for reinforcement training accessed by State authorized users. The CBT and WBT applications will be accessible via a secured internet log-on environment, 24 hours per day, 365 calendar days per year, with the exception of State-approved system downtime periods. Content for CBT and WBT applications must be reviewed and approved by State.	Y	A	3/19/2013	Attachment G2, Section 2.6 Training Requirements	Optum will utilize Microsoft PowerPoint to produce computer-based training (CBT) and web-based training (WBT) for the AME DSS user community. The presentations will be available through the AME DSS web portal, which will require a login ID and password for access. Optum will work with the Department to review and approve the content of training courses.	Project monitoring and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
TR1.11	Ensure CBT and WBT applications and modules are consistent with the Contractor's training modules used by trainers in the hands-on facilitated training sessions. The CBT and WBT applications and modules will incorporate training cases for users to learn or enhance hands-on practice of skills, information processing, and system change control information dissemination.	Y	A	3/19/2013	Attachment G2, Section 2.6 Training Requirements	Optum acknowledges and will comply with this requirement. THE CBT and WBT will be based on classroom materials and will include training cases.	Project monitoring and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
TR1.12	Ensure that each CBT and WBT training module includes an electronic proficiency test. Specific course tracking for each trainee will also be included within the applications. For incorrect answers, the proficiency test will provide the correct answer, include narrative explaining why it is correct, and further direct the user to additional contextual and reinforcement information.	Y	A	3/19/2013	Attachment G2, Section 2.6 Training Requirements	Optum acknowledges and will comply with this requirement.	Project monitoring and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
TR1.13	Provide no more than 30 days prior to delivery of a training session the Contractor's designated training for the State end-users; plans, curricula, syllabi, training materials, and course evaluations or questionnaires for State review, input, and approval.	Y	A	3/19/2013	Attachment G2, Section 2.6 Training Requirements	Optum acknowledges and will comply with this requirement. As described in our proposal Optum will submit training session materials for State approval 30 days prior to the session.	Project Monitoring
TR1.14	Provide the final version of training materials to State within 15 calendar days of receipt of the identified change(s) or sooner if there is a scheduled training session that will be negatively impacted.	Y	A	3/19/2013	Attachment G2, Section 2.6 Training Requirements	Optum acknowledges and will comply with this requirement.	Project Monitoring
TR1.15	Ensure that training materials address the specific job functions of the State- authorized individuals being trained.	Y	A	3/19/2013	Attachment G2, Section 2.6 Training Requirements	We will provide customization of training around the business problems and data used for examples and course problems so that the training is applicable to job functions.	Project Monitoring
TR1.16	Maintain documentation of participation in facilitated training, including training course name, trainer's name, date and location of the training, State' identified individuals as training attendees, attendee participation, attendee course completion, and attendee proficiency test results.	Y	A	3/19/2013	Attachment G2, Section 2.6 Training Requirements	We will maintain electronic records of planned enrollment, current enrollment and attendance for all training using the Kaizen Training Manager software product. For facilitated training, we will use a sign-in sheet to verify actual attendance. An electronic record of the sign-in sheet will also be created by scanning it and storing it in records.	Project Monitoring
TR1.17	Provide, upon request by the State, training materials customized for a specific facility, function, or workgroup specialty.	Y	A	3/19/2013	Attachment G2, Section 2.6 Training Requirements	Optum acknowledges and will comply with this requirement. In addition to meeting State requests for specialized training, the Documentation and Training Manager will use the Service Desk information as a source to propose the need for specialized training.	Project Monitoring
TR1.18	Provide on a semi-annual basis for State review, a Training Review Report including suggestions for improving effectiveness and proficiency.	Y	A	3/19/2013	Attachment G2, Section 2.6 Training Requirements	Optum acknowledges and will comply with this requirement.	Project Monitoring

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TR1.19	Submit to the State 60 calendar days prior to the Contract renewal period, a revised Training Plan that includes: 1. The types of training needed. 2. Specific areas of focus based on experience. 3. Suggested changes or enhancements to the training methodology. 4. Training schedules and locations.	Y	A	3/19/2013	Attachment G2, Section 2.6 Training Requirements	Optum acknowledges and will comply with this requirement. Optum will update the Training Plan regularly and publish it through the portal. However Optum will formally submit the Training Plan to the State 60 calendar days prior to the Contract renewal period.	Project Monitoring
2.7	Interface Requirements						
INT1.2	Provide automated Federal reporting (financial and statistical). Where required, provide interface with Federal systems for simplified and automated reporting and data sharing.	Y	A	3/19/2013	Attachment G2, Section 2.7 Interface Requirements	Optum will provide automated Federal reporting for the Medicaid Statistical Information System (MSIS) through the IMARS Federal Reporting product. The MSIS reporting is currently the only Federal reporting for which CMS has an automated interface. Optum will work with the State to design, develop and implement enhancements to the AME DSS to utilize new automated interfaces as they are developed by CMS.	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
INT1.3	Provide the capacity to interface with the State-defined or federal EHR or PHR exchange data services or exchanges (HIX, HIE) the State may implement.	Y	A	3/19/2013	Attachment G2, Section 2.7 Interface Requirements	The proposed infrastructure delivers the necessary power and scalability to address the stated connectivity required, and is designed to be extremely scalable to accommodate future growth. The technical architecture designed for the AME DSS is a solution that will provide processing and capacity to support the State's requirements. It is extensible and flexible and is designed to support future growth and additional future requirements. While it is important to note that Optum's proposed AME DSS is entirely comprised of COTS software elements for the data warehouse and ETL processing function (including episode grouper data processing), application functionality to be built around data and data migration processing will be specific to the State's source data. Source information available in each client installation differs from one another, and the processes to acquire, convert, and load such data are all customized to the implementation. When integration with the State's ESB is needed, this will require Optum staff to potentially add in a service layer for data access to the data warehouse content. Also, when data exchange with external entities is required, such as with Regional Health Information Organizations (RHIOs) or other Health Information Exchanges (HIEs), specially customized interfaces will also likely need to be built and deployed. Optum is knowledgeable about the HIE in Arkansas. Structures to support Arkansas data sharing and end user facing new application functionality to be developed, in the form of to-be-developed reporting artifacts, will likely be created throughout the project lifecycle.	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
INT1.4	Determine portal access and develop web-based services as defined by the State.	Y	A	3/19/2013	Attachment G2, Section 2.7 Interface Requirements	Optum will provide a Web Portal interface for the AME DSS. This is a common, secure, web-based portal, which allows Arkansas AME DSS users to quickly access the applications and reports that Optum will implement for the AME DSS. With the portal users can find and reuse timely and relevant information, and quickly locate and access documents and all of the AME DSS applications by searching or browsing.	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
INT1.8	Comply with agency computer application and network security policies (Active Directory authentication, data encryption, bandwidth, etc.).	Y	A	3/19/2013	Attachment G2, Section 2.7 Interface Requirements	Optum will comply with computer application and network security policies specified in State of Arkansas State Network Policy (document PS-60), Data and System Security Classification Standards (document SS-70-001) and Encryption Standard (document SS-70-006).	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)

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INT1.10	Provide for data interchange with other registries, agency data warehouses, and other forms of domain information as defined by the State.	Y	A	3/19/2013	Attachment G2, Section 2.7 Interface Requirements	The Informatica ETL tool proposed by Optum provides comprehensive data acquisition and data delivery capability to easily and quickly access most any data source or target system. In our other DSS implementations we have integrated health enterprise data from registries, data marts, warehouses and files. For example, the State of Michigan's DSS includes data from birth death, lead screening, immunization, new born screening, long term care assessment and more. Advanced ETL development (able to transform data while also maintaining its original values and integrity), data integration, transformation, and associated maintenance capabilities using the leading data integration platform from Informatica provides the ability to connect and integrate with other data sources and repositories such as registries, agency data warehouses and other forms of domain information as defined by the State. The design of Optum's data warehouse design also provides the State the flexibility needed to expand the data warehouse to accommodate these potential future source systems.	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
2.8	Electronic Documentation Requirements	Y	A	3/19/2013			
DRU1.2	The electronic documentation must also include context-sensitive help screens.	Y	A	3/19/2013	Attachment G2, Section 2.8 Electronic Documentation Requirements	Optum acknowledges and will comply with this requirement. Optum has experience doing this in our other Optum DSS implementations using the hyperlink capabilities built into MS Office and web services. We will select and use an appropriate help authoring tool such as RoboHelp to support this requirement when user needs are better defined.	Project monitoring and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
DRU1.3	The electronic documentation must be linked; to track, and update simultaneously all content affected by an electronic documentation change.	Y	A	3/19/2013	Attachment G2, Section 2.8 Electronic Documentation Requirements	The documentation will be created with a table of contents and index section to link and identify related content. These linkages will provide the ability to easily locate and modify content affected by a documentation change.	Project monitoring and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
DRU1.4	The electronic documentation must be prepared in a format that facilitates efficient and immediate updating and dissemination.	Y	A	3/19/2013	Attachment G2, Section 2.8 Electronic Documentation Requirements	AME DSS documentation will be created in electronic format that will allow for immediate updates and dissemination. The content will be centrally managed to maintain version consistency and disseminated through the AME DSS web portal, as well as through the State's AME DSS SharePoint site.	Project monitoring and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
DRU1.5	The electronic documentation must be available on-line and provide an on-line search capability with context-sensitive help; the State requires one paper copy using 8-1/2" x 11" pages in three-ring binder form, pages numbered within each section, and a revision date on each page. Revisions must be clearly identified in bold print.	Y	A	3/19/2013	Attachment G2, Section 2.8 Electronic Documentation Requirements	We will publish all user documents and make them accessible via the web portal. The AME DSS user documentation will include the most updated items such as: COTS software documentation; AME DSS training manuals, training aids, navigation guides, PowerPoint presentations, all training policies and procedures, and any other training aids given to students; quarterly newsletter; frequently asked questions; reports specification and documentation; data cross-walk/dictionary; business rules and processes as they relate to the AME DSS; ERwin data model; user group presentations; help desk processes and procedures; all technical interfaces that deliver the documentation to the user. To make it easy for users to find what they are looking for, we will employ a search function and also offer context-sensitive help screens. We will also provide a paper copy of the on-line documentation using "8-1/2x11" pages in a 3-ring binder. Each page will include a page number as well as a clearly marked and bold revision date.	Project monitoring and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
DRU1.6	Create and maintain in Microsoft Office 2007 Suite or higher (consistent with the current State standards) and Visio for diagrams.	Y	A	3/19/2013	Attachment G2, Section 2.8 Electronic Documentation Requirements	We use Microsoft Office 2007 Suite to create and maintain all documentation.	Project monitoring and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
DRU1.7	Provide to State in CD-ROM, or DVD upon request, and be accessible to DSS end- users via the Web during Phase IV – Initial Operations.	Y	A	3/19/2013	Attachment G2, Section 2.8 Electronic Documentation Requirements	All documentation can be provided in CD-ROM or DVD formats. In addition, the AME DSS Web Portal will provide links to all documentation.	Project monitoring and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)

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DRU1.8	Accommodate novice end-users not trained in the DSS applications: to learn from reading the electronic documentation instructions, to how to access the System on-line, understand how the screens function, understand the layout of reports, and how to perform entry-level ad hoc report development and ad-hoc related print-key functions.	Y	A	3/19/2013	Attachment G2, Section 2.8 Electronic Documentation Requirements	Optum will work with the State to develop a "quick start" guide for the AME DSS. We have provided similar documentation to other clients to provide a condensed version of the documentation that focuses on the basic functions of the DSS system. This format gives novice end-users an easy to use, approachable document to follow for getting started and to gain confidence using the AME DSS system. The topics such as how to access the system, understanding navigation and screen functions, layout of reports, and how to develop and print ad-hoc reports will be included. This document can be made available through the Department's Microsoft SharePoint site to facilitate wide-ranging access to the AME DSS user community.	Project monitoring and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
DRU1.9	Produce electronic documentation in a procedural, systematic format and aligned with the business services they support.	Y	A	3/19/2013	Attachment G2, Section 2.8 Electronic Documentation Requirements	As stated in the above, we will maintain common formatting for all documentation, including policy, procedures, system documentation, meeting minute templates, report specification, and training manuals. To do this, we will ensure all documentation is created and maintained in Microsoft Office 2007 Suite or higher and Visio. We will also make sure that we stay consistent with current State standards.	Project Monitoring
DRU1.11	Provide a table of contents and an online index using key words.	Y	A	3/19/2013	Attachment G2, Section 2.8 Electronic Documentation Requirements	We will provide a table of contents and online index using key words. All documentation will be indexed for easy retrieval and organized by topic.	Project Monitoring
DRU1.12	Display error messages for visible data elements as "keyed-entry" fields with edits, and must display the corrective actions as steps to be taken by the end-user for overcoming such errors.	Y	A	3/19/2013	Attachment G2, Section 2.8 Electronic Documentation Requirements	We will makes certain error messages for visible data elements as "keyed-entry" fields with edits are displayed as well as the corrective actions to overcome the error.	Project Monitoring
DRU1.14	Identify acronyms used in end-user instructions. Instructions must be identified and must be consistent with windows, screens, reports, and the data element dictionary.	Y	A	3/19/2013	Attachment G2, Section 2.8 Electronic Documentation Requirements	We will use common abbreviations and acronyms throughout documentation. We will provide consistency with windows, screens, reports, and the data dictionary. We will maintain a list of acronyms in the documentation library on SharePoint.	Project Monitoring
DRU1.15	Process system errors using standardized error-handling module that translates technical messages into commonly understood laypersons' terminology.	Y	A	3/19/2013	Attachment G2, Section 2.8 Electronic Documentation Requirements	One of the many benefits of using COTS-based approach for the AME DSS is that these tools that will be used are designed for the widest audience of users and are already designed to avoid usage of technical messages. The user feedback is straightforward and easy to understand. Also, the Cognos system provides help function to assist users in resolving any errors.	Project Monitoring
DRU1.16	Consistently define abbreviations and acronyms.	Y	A	3/19/2013	Attachment G2, Section 2.8 Electronic Documentation Requirements	The AME DSS documentation will contain a glossary of abbreviations and acronyms. The documentation will also follow the standard that the first use of an abbreviation or acronym will be fully defined.	Project Monitoring
DRU1.17	Field names for the same fields on different records must be consistent throughout the electronic documentation.	Y	A	3/19/2013	Attachment G2, Section 2.8 Electronic Documentation Requirements	Optum strongly believes in the standard use of field names wherever they are used across the AME DSS. The approach to designing the data warehouse tables and columns will utilize a common Data Dictionary. When fields are used across different components of the AME DSS, the data dictionary will provide a common reference for consistency. This will also help make sure field names in the documentation are consistent as well.	Project Monitoring, SIT, and UAT as described in Optum's TEMP.
DRU1.18	Include tables of valid values for all data fields, including codes and an layperson description, presented on windows, screens, and reports.	Y	A	3/19/2013	Attachment G2, Section 2.8 Electronic Documentation Requirements	Optum will provide Metadata (Data Dictionary). It will contain all of the information about each data field including entity name, entity definition, attribute name, attribute data type, source field data type, transformation rules, identification of primary or secondary key, whether the attribute is indexed, the decode table (if one exists), relationship to other attributes and or entities and analytic notes about the attribute. This information will be available on-line for easy retrieval.	Project Monitoring, SIT, and UAT as described in Optum's TEMP.
DRU1.19	Provide illustrations of windows and screens used with all data elements on the screens identified by number.	Y	A	3/19/2013	Attachment G2, Section 2.8 Electronic Documentation Requirements	The AME DSS documentation will contain screen shots that clearly identify each field to be input by the user. The documentation will provide the correlation between the data element on the window to be entered or selected and its associated description.	Project Monitoring, SIT, and UAT as described in Optum's TEMP.

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DRU1.20	Provide a section describing all standard reports generated within the business area or function, which includes the following: 1. A narrative description of each report. 2. The purpose of the report. 3. Definition of all fields in the report, including detailed explanations of calculations used to create all data and explanations of all subtotals and totals. 4. Definitions of all user-defined, report-specific code descriptions; and copies of representative pages of each report.	Y	A	3/19/2013	Attachment G2, Section 2.8 Electronic Documentation Requirements	Optum will provide in the AME DSS document a section describing all standard reports generated within the business area or function, which includes the following: 1. A narrative description of each report. 2. The purpose of the report. 3. Definition of all fields in the report, including detailed explanations of calculations used to create all data and explanations of all subtotals and totals. 4. Definitions of all user-defined, report-specific code descriptions; and copies of representative pages of each report.	Project Monitoring, SIT, and UAT as described in Optum's TEMP.
DRU1.21	Provide instructions for requesting standard and ad-hoc reports at a ninth grade reading level as accessed by the Flesch-Kincaid Grade Level calculation.	Y	A	3/19/2013	Attachment G2, Section 2.8 Electronic Documentation Requirements	The AME DSS documentation will be written in a straightforward manner. The documentation will provide instructions for requesting standard and ad-hoc reports, that are at a ninth grade reading level. We will utilize the "Show Readability Statistics" option in Microsoft Word to assess the documentation for compliance with the Flesch-Kincaid ninth-grade reading level.	Project Monitoring, SIT, and UAT as described in Optum's TEMP.
DRU1.22	Present all functions and supporting materials for DSS file maintenance as independent sections of the manual.	Y	A	3/19/2013	Attachment G2, Section 2.8 Electronic Documentation Requirements	The AME DSS System Operations Documentation will provide a separate section for DSS file maintenance. These functions will be performed by Optum's AME DSS operations staff. End users will not need to perform any file maintenance functions within the AME DSS.	Project Monitoring, SIT, and UAT as described in Optum's TEMP.
DRU1.23	Include the descriptions of code sets or data element values and the data element numbers for all authorized data maintenance.	Y	A	3/19/2013	Attachment G2, Section 2.8 Electronic Documentation Requirements	The descriptions of the code sets used in the Core System will be available in the AME DSS documentation. Descriptions of the code sets will be maintained within and provided from the Core System. Optum will work with the Core Contractor to extract the descriptions for these code sets for use in the AME DSS. We will participate in meetings with the Core Contractor and the State on a regular basis regarding the modifications and enhancements to the Core System, and analyze these changes for impact on the AME DSS data and documentation.	Project Monitoring, SIT, and UAT as described in Optum's TEMP.
DRU1.24	Provide an electronic confirmation for authorized changes to documentation.	Y	A	3/19/2013	Attachment G2, Section 2.8 Electronic Documentation Requirements	Upon any change to documentation by an authorized individual, an electronic confirmation will be provided verifying that the change was made.	Project Monitoring, SIT, and UAT as described in Optum's TEMP.
DRU1.25	Provide electronic links guiding users to role-based functions and instructions to assist in completing system-related tasks.	Y	A	3/19/2013	Attachment G2, Section 2.8 Electronic Documentation Requirements	The AME DSS documentation will be designed based on Executive, Power, Business Analysts, and Casual) user roles defined for training courses for the AME DSS. Links will be provided from the document table of contents directly to the instructions by role. Use of these roles for the organization of the AME DSS documentation will allow those users to quickly access the documentation that is relevant to them and for which they have received instruction. The documentation will also contain links to provide instruction on how to perform specific tasks, such as creating an ad-hoc report.	Project Monitoring, SIT, and UAT as described in Optum's TEMP.
DRU1.27	Provide up-to-date illustrations of windows and screens that are consistent with the production system.	Y	A	3/19/2013	Attachment G2, Section 2.8 Electronic Documentation Requirements	Optum will provide initial and updated illustrations of windows and screens.	Project Monitoring, SIT, and UAT as described in Optum's TEMP.
DRU1.29	Exclude trademarks, logos, and identifying information for all documentation.	Y	A	3/19/2013	Attachment G2, Section 2.8 Electronic Documentation Requirements	Optum will verify that all trademarks, logos, and identifying information are removed from all documentation.	Project Monitoring
2.9	Rules Management Concept						
RUL1.2	Allow for business rules to be implemented and immediately applied in a real-time enterprise environment.	Y	A	3/19/2013	Attachment G2, Section 2.9 Rules Management Concept	By implementing business rules at both the ETL and application layers, business rules can be created as part of the analytic environment.	Project Monitoring, SIT, and UAT as described in Optum's TEMP.
RUL1.3	Provide a graphical front-end to the business rules repository, enabling State-authorized users to apply or disable rules quickly and usually without programmer intervention.	Y	A	3/19/2013	Attachment G2, Section 2.9 Rules Management Concept	The Informatica ETL tool provides a graphical interface to the business rules development environment. Rules can be created and modified using a "drag-and-drop" interface as well and utilizing standard transformations. Optum will provide a ETL Analyst whose primary responsibility will be to maintain the ETL processes within the AME DSS. Optum recommends that the use of the ETL software and maintenance of the associated business rules is performed by the ETL Analyst.	Project Monitoring, SIT, and UAT as described in Optum's TEMP.

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
RUL1.4	Provide business rules that support rapid reconfiguration in support of legislative or administrative mandates.	Y	A	3/19/2013	Attachment G2, Section 2.9 Rules Management Concept	The Informatica ETL software provides the State a platform through which business rules in the AME DSS can be quickly modified in response to legislative or administrative mandates. The Informatica software provide multiple features to the ETL Analyst to enhance efficiency, including reusability of rules objects, a graphical user interface, and a drag-and-drop design environment. Also, use of the Informatica software can connect directly with source systems, which would eliminate the time-consuming and error prone process of coding extract programs. Optum would work with the State and Core Contractor to determine how to best utilize this approach.	Project Monitoring, SIT, and UAT as described in Optum's TEMP.
RUL1.5	Provide business rule edit processes to be configured by a trained business analyst, not hard coded in the DSS. Note: the State may update the business rules and validate testing, but the Contractor is responsible for business rule promotion into the production operating environment.	Y	A	3/19/2013	Attachment G2, Section 2.9 Rules Management Concept	By implementing business rules in the Cognos meta layer, the rules are fixed but not hard coded. Only data base managers can change the meta layer business rules. However they can be easily changed and they are transparent within Cognos. Users can always implement their own business rules through stored queries. Optum has experience working with users to develop and publish these artifacts in the data base. The initial set of objects will be developed as part of the data model design in the DDI phase. Additional business rules will be created as part of ongoing operations.	Project Monitoring, SIT, and UAT as described in Optum's TEMP.
RUL1.6	Provide capability for the State to view business rules online and trace rule dependencies, including exceptions-based business rules.	Y	A	3/19/2013	Attachment G2, Section 2.9 Rules Management Concept	Informatica PowerCenter Repository Reports prepackages a set of reports and dashboards, which can be easily customized to meet user needs. The prepackaged dashboards and reports enable the Department to analyze the following types of information stored in a PowerCenter repository: Source and target information, Transformation rules and dependencies, Mapping and maplet design, Workflow and worklet information, Session information, Change management information, User information, and Operational information	Project Monitoring, SIT, and UAT as described in Optum's TEMP.
RUL1.7	Support the assembly of business rules into a package or service.	Y	A	3/19/2013	Attachment G2, Section 2.9 Rules Management Concept	The Informatica PowerCenter tool is designed to allow development of independent rule objects or "maplets." These maplets can be assembled across packages of rules, or maps. Informatica also provides many predefined standard rule maplets that can be easily integrated into maps, providing the ability to quickly develop a set of business rules.	Project Monitoring, SIT, and UAT as described in Optum's TEMP.
RUL1.8	Provide real-time, online business rules debugging procedures and tools to aid the analysis and identification of execution or call logical errors (i.e., conflict, redundancy, and incompleteness) across business rules.	Y	A	3/19/2013	Attachment G2, Section 2.9 Rules Management Concept	The Informatica PowerCenter Administrator module provides the ability to monitor execution of business rules in a real-time, online environment as the ETL processes are being executed to allow the ETL Analyst to quickly identify any errors as they occur. The Informatica Administrator module identifies the status of each running process, and highlights any map or process that has encountered an error. The ETL Analyst can then easily drill down to the error message to debug the issue.	Project Monitoring, SIT, and UAT as described in Optum's TEMP.
RUL1.9	Allow for the business rules to be tested against production data in the test environment.	Y	A	3/19/2013	Attachment G2, Section 2.9 Rules Management Concept	Informatica PowerCenter can be configured to utilize any designated AME DSS computing environment and database. ETL processes will be configured to not modify production data to ensure data integrity.	Project Monitoring, SIT, and UAT as described in Optum's TEMP.
RUL1.10	Provide an automated process for business rule review and approval that identifies execution or call logic conflicts.	Y	A	3/19/2013	Attachment G2, Section 2.9 Rules Management Concept	The Informatica PowerCenter provides automated process error detection during the development of business rules. Any syntax or configuration errors are automatically detected when the ETL Analyst attempts to incorporate the object that has been developed into the development project. Once the errors have been resolved, the PowerCenter software approves the object to be incorporated in the execution of the ETL processes. ETL processes are managed with the Informatica Administrator module to monitor execution and detect any conflicts, such as call logic conflicts.	Project Monitoring, SIT, and UAT as described in Optum's TEMP.
RUL1.11	Allow for the tracking, logging and reporting of business rules' invoked usage, the count in terms of execution and the name of the calling instruction in the application.	Y	A	3/19/2013	Attachment G2, Section 2.9 Rules Management Concept	The Informatica Administrator module manages all components and statistics for ETL business rule execution, including usage of each rule, name of the map or workflow that called the each rule object, run time, and execution status.	Project Monitoring, SIT, and UAT as described in Optum's TEMP.
RUL1.12	Provide a hard-copy and online report of all business rules.	Y	A	3/19/2013	Attachment G2, Section 2.9 Rules Management Concept	Informatica PowerCenter Repository Reports prepackages a set of reports and dashboards, which can be easily customized to meet user needs. The prepackaged dashboards and reports enable the Department to analyze the following types of information stored in a PowerCenter repository: Source and target information, Transformation rules and dependencies, Mapping and maplet design, Workflow and worklet information, Session information, Change management information, User information, and Operational information.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
RUL1.19	Provide for business rule (add, delete, change) reject transactions based on State-defined edits. Report on business rule errors to be corrected or worked manually.	Y	A	3/19/2013	Attachment G2, Section 2.9 Rules Management Concept	Optum will work with the State to design ETL business rules to meet its needs and to maximize the integrity of the data in the AME DSS. Our experience with other state implementations suggests that extracted data from the MMIS and other sources systems should be loaded "as-is" to the extent possible. This helps in making direct data quality comparisons with the source system and the AME DSS and avoids any questions regarding data consistency. ETL business rules can be designed to generate error messages and either substitute a default value, or if the error is too severe, reject the incoming record. Optum recommends that a default value be used and an error message be generated for balancing purposes and due to the potential number of rejected records. Corrections to the invalid are then made in the Core System, which are then extracted in the next processing cycle.	Project Monitoring, SIT, and UAT as described in Optum's TEMP.
RUL1.30	Provide the flexibility to define business rules by inclusion or exclusion.	Y	A	3/19/2013	Attachment G2, Section 2.9 Rules Management Concept	Informatica PowerCenter software allows extensive flexibility to define business rules, including the option of inclusion or exclusion. The PowerCenter Expression Editor functionality allows the ETL Analyst to define rules using conditional statements, perform calculations based on functions, operators, variables, constants, and return values from other transformations.	Project Monitoring, SIT, and UAT as described in Optum's TEMP.
RUL1.32	Define a rules-driven, methodology based on industry standards and best practices for accommodating policy changes and incorporating new policy requirements within the rules engine solution.	Y	A	3/19/2013	Attachment G2, Section 2.9 Rules Management Concept	The Informatica ETL software provides the State a platform through which business rules in the AME DSS can be quickly modified in response to legislative or administrative mandates. The Informatica software provide multiple features to the ETL Analyst to enhance efficiency, including reusability of rules objects, a graphical user interface, and a drag-and-drop design environment. Also, use of the Informatica software can connect directly with source systems, which would eliminate the time-consuming and error prone process of coding extract programs. Optum would work with the State and Core Contractor to determine how to best utilize this approach.	Project Monitoring, SIT, and UAT as described in Optum's TEMP.
RUL1.34	Provide ability to trace business rules to policy origination reference with a cross-reference to all related updates.	Y	A	3/19/2013	Attachment G2, Section 2.9 Rules Management Concept	Informatica PowerCenter provides a documentation feature that allows notes to be added to each mapping used for a business rule. This feature can be used to fully document the origin for the business rule map, and to track the policy origination reference. The reusability feature of Informatica business rule mappings will provide the ability to cross-reference the use of the mapping as a component in other business rules.	Project Monitoring, SIT, and UAT as described in Optum's TEMP.
RUL1.35	Support end user online access to policy origination document references by hyperlinks.	Y	A	3/19/2013	Attachment G2, Section 2.9 Rules Management Concept	The documentation of the mapping can be designed to include hyperlinks to policy origination document references that are stored within the State's Microsoft SharePoint site.	Project Monitoring, SIT, and UAT as described in Optum's TEMP.
RUL1.36	Identify a single source of record for updating any business rule.	Y	A	3/19/2013	Attachment G2, Section 2.9 Rules Management Concept	The Configuration Management Plan that Optum will develop for the AME DSS project will define procedures to be followed for maintenance to any component of the AME DSS, including business rules. The Configuration Management Plan procedures will define the required documentation to be developed for any maintenance performed. All changes will be submitted to the State for approval. The documentation included in the mapping will point back to the Change Request which serves as the single source of record for the change. It will contain detailed information such as the reason for the change, the requestor(s), the approver(s), components or rules affected documentation of testing results, and implementation details, among other details.	Project Monitoring, SIT, and UAT as described in Optum's TEMP.
RUL1.37	Provide a simulation or model office environment to perform hypothetical testing, or scenario modeling, to assess the impact of a proposed business rules change resulting from policy and legislation changes.	Y	A	3/19/2013	Attachment G2, Section 2.9 Rules Management Concept	Optum will provide all computing environments specified in AME DSS Requirement EF1.1, including a model office environment. The Model Office will be a working prototype of operations which reflects the Production Reporting environment as closely as reasonably possible. The Model Office allows the ability to perform hypothetical testing or scenario modeling to assess the impact of a proposed business rules change resulting from policy and legislation changes.	Project Monitoring, SIT, and UAT as described in Optum's TEMP.
RUL1.38	Provide an audit capability that maintains a history of all changes to business rules.	Y	A	3/19/2013	Attachment G2, Section 2.9 Rules Management Concept	Informatica PowerCenter provides the ability to track information about changes, including the user ID of the ETL Analyst who last saved an ETL business rule, the date and time it was last saved. The versioning capability of Informatica provides the ability to show the modification history of an ETL business rule and the ability to easily perform comparisons between versions	Project Monitoring, SIT, and UAT as described in Optum's TEMP.
RUL1.39	Ensure all business rules allow for date range "from" and "through" designations.	Y	A	3/19/2013	Attachment G2, Section 2.9 Rules Management Concept	The Informatica PowerCenter Expression Editor provides several date functions to define effective date ranges with "from" and "through" designations.	Project Monitoring, SIT, and UAT as described in Optum's TEMP.
2.10.3	DSS Performance Standards						

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
PGPS1.1	Comply with State's standards and policies relating to information systems, information systems security, physical security, confidentiality, and privacy. (http://www.dis.arkansas.gov/policiesStandards/Pages/default.aspx).	Y	A	3/19/2013	Attachment G2, Section 2.10.3 DSS Performance Standards	Optum will comply with all applicable standards for information systems, information systems security, physical security, confidentiality, and privacy listed in http://www.dis.arkansas.gov/policies . Optum has identified the following to be applicable to the AME DSS project: 1) Computer application and network security policies specified in State of Arkansas State Network Policy (document PS-60) 2) Data and System Security Classification Standards (document SS-70-001) and 3) Encryption Standard (document SS-70-006). Optum will work with the State, DHS, and DIS if any additional policies and standards within the above reference website are determined to be applicable.	Project Monitoring
PGPS1.2	The DSS Solution's online response time will be measured during normal working hours, which are 7:00 AM to 7:00 PM, Central Standard Time (CT), Monday through Friday, and on Saturdays 8:00 AM to 12:00 PM, CT except for State observed holidays.	Y	A	3/19/2013	Attachment G2, Section 2.10.3 DSS Performance Standards	The AME DSS online response time will be measure during normal working hours of Monday through Friday from 7:00AM to 7:00PM, CT and on Saturday from 8:00AM to 12:00PM except during State observed holidays. Optum will work with the State to establish a number of mutually agreed upon benchmark queries to measure the performance of the system as defined in these requirements. Optum will define the queries and review the queries with the State on an annual basis, modifying, and maintaining the queries as required by the State, and as mutually agreed, over the term of the contract. We will execute the queries two times per day in the Production Reporting environment during business hours, once during peak usage hours and once during low usage hours. We will provide the results to the State for review and load the data to our SLA performance management dashboard.	Project monitoring, and Performance Management Test (PMT)
PGPS1.3	The DSS Solution's average online response time per active session without images at the End-user's workstation or desktop must be less than 3 seconds (Internet-based services) for inquiry display, and add, delete, and change instructions, as well as print spooling commands 100% of the time.	Y	A	3/19/2013	Attachment G2, Section 2.10.3 DSS Performance Standards	The AME DSS average online response time per active session without images the end-users workstation or desktop will be less than three (3) seconds for inquiry display and add, delete, change, and print spooling commands 100 percent of the time. Optum will work with the State to establish a number of mutually agreed upon benchmark queries to measure the performance of the system as defined in these requirements. Optum will define the queries and review the queries with the State on an annual basis, modifying, and maintaining the queries as required by the State, and as mutually agreed, over the term of the contract. We will execute the queries two times per day in the Production Reporting environment during business hours, once during peak usage hours and once during low usage hours. We will provide the results to the State for review and load the data to our SLA performance management dashboard.	Project monitoring, and Performance Management Test (PMT)
PGPS1.4	The DSS Solution's generated transactions for near real-time or for nightly batch processing, including DSS-required data refreshes must process within a window for a full nightly batch cycle to be completed by 7:00 AM CT, Monday through Friday.	Y	A	3/19/2013	Attachment G2, Section 2.10.3 DSS Performance Standards	Optum has not identified in the AME DSS RFP any requirements or specifications for transactions to be generated within the AME DSS system itself. Optum will establish a cut-off time with the State and the Core Contractor by which data to be loaded in the AME DSS must be available to be extracted or be transferred from the Core System to the AME DSS FTP server. Refreshes of data delivered by the mutually agreed upon cut-off time will be completed by 7:00AM CT Monday through Friday.	Project monitoring, and Performance Management Test (PMT)
PGPS1.5	The DSS Solution's responsibility for performance regarding response times extends to its configurable software and third-party components, data file structures and physical data base designs, and internal transaction processing logic.	Y	A	3/19/2013	Attachment G2, Section 2.10.3 DSS Performance Standards	Optum acknowledges and will comply with the requirement that the responsibility for performance regarding response times of the AME DSS extends to its configurable software and third-party components, data file structures and physical data base designs, and internal transaction processing logic.	Project monitoring, and Performance Management Test (PMT)
PGPS1.6	The DSS must provide interoperability across the Core System's Shared Services technologies and management systems including; but not limited to: 1. Imaging 2. Work Flow Automation 3. Business Intelligence Dashboards 4. Business Rules Management 5. Other Decision Support Services 6. Exchange Data and Message Services 7. Web Services 8. Real-time Processing Cycles 9. Core System Performance Management	Y	A	3/19/2013	Attachment G2, Section 2.10.3 DSS Performance Standards	Optum will work with the State to establish a number of mutually agreed upon benchmark queries to measure the performance of the system as defined in these requirements. Optum will define the queries and review the queries with the State on an annual basis, modifying, and maintaining the queries as required by the State, and as mutually agreed, over the term of the contract. We will execute the queries two times per day in the Production Reporting environment during business hours, once during peak usage hours and once during low usage hours. We will provide the results to the State for review and load the data to our SLA performance management dashboard.	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
PERF2.01	SLA: DSS response time from pressing enter to the system returns must be less than three seconds wait time. Metric: 99.5% of all responses are completed within three seconds.	Y	A	3/19/2013	Attachment G2, Section 2.10.3 DSS Performance Standards	The AME DSS response time from pressing enter to the system returns must be less than three seconds 99.5 percent of the time. Optum will work with the State to establish a number of mutually agreed upon benchmark queries to measure the performance of the system as defined in these requirements. Optum will define the queries and review the queries with the State on an annual basis, modifying, and maintaining the queries as required by the State, and as mutually agreed, over the term of the contract. We will execute the queries two times per day in the Production Reporting environment during business hours, once during peak usage hours and once during low usage hours. We will provide the results to the State for review and load the data to our SLA performance management dashboard.	Project monitoring, and Performance Management Test (PMT)
PERF2.02	SLA: DSS weekend processing cycle completed by Monday morning. Metric: 100% of all weekly processing is completed by 6:00 AM CT Monday mornings.	Y	A	3/19/2013	Attachment G2, Section 2.10.3 DSS Performance Standards	Optum will establish a cut-off time with the State and the Core Contractor by which data must be available to be extracted or be transferred to the AME DSS FTP server. Data delivered by the mutually agreed upon cut-off time will be loaded and available by 6:00am CT Monday morning 100 percent of the time.	Systems Integration Test (SIT), Performance Management Test (PMT), and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
PERF2.03	SLA: DSS weekend refreshes completed by Monday. The Contractor is required to provide notification of downtime for weekend refreshes (e.g., DSS). Weekend refreshes will be scheduled at specific times (agreed upon by the State and the Contractor) on Saturdays. Metric: 100% of all DSS weekend refresh processing (e.g. DSS) is completed by 6:00 AM CT Monday mornings	Y	A	3/19/2013	Attachment G2, Section 2.10.3 DSS Performance Standards	Optum will work with the State and the Core Contractor to determine the schedule and provide notification of necessary downtime for weekend refreshes. Optum will establish a cut-off time with the State and the Core Contractor by which data must be available to be extracted or be transferred to the AME DSS FTP server. Data delivered by the mutually agreed upon cut-off time will be loaded and available by 6:00am CT Monday morning 100 percent of the time.	Systems Integration Test (SIT), Performance Management Test (PMT), and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
PERF2.04	SLA: DSS Online Transaction Processing (OLTP) nightly refreshes completed each morning by 6:00 AM CT. Metric: 100% of all nightly OLTP refresh processing is completed by 6:00 AM CT the following morning.	Y	A	3/19/2013	Attachment G2, Section 2.10.3 DSS Performance Standards	Optum will work with the State and Core Contractor to determine the schedule by which the Core System data must be available to be loaded in the AME DSS in order to meet requirement PERF2.04 or requirement PGPS1.4.	Systems Integration Test (SIT), Performance Management Test (PMT), and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
PERF2.05	SLA: DSS data file updates and backups are to be completed nightly if applicable. Metric: 100% of all nightly updates and backup processing is completed by 6:00 AM CT the following morning.	Y	A	3/19/2013	Attachment G2, Section 2.10.3 DSS Performance Standards	Optum will work with the State and Core Contractor to determine the schedule by which the Core System data must be available to be loaded in the AME DSS in order to meet requirement PERF2.05 or requirement PGPS1.4. Optum will develop a Data Back-up Plan that includes the procedures to create and maintain retrievable exact copies of informational data files. The Data Back-up Plan, which will comply with all requirements under HIPAA 164.308 (a)(7)(ii)(A) and HAM 6-1020.6.	Systems Integration Test (SIT), Performance Management Test (PMT), and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
PERF2.07	SLA: The DSS operating as a modular component in the Core System must be available 22 hours per calendar day, seven calendar days per week, except for scheduled downtime as agreed to by the State. Metric: 99.9% of the time the System is available 22x7.	Y	A	3/19/2013	Attachment G2, Section 2.10.3 DSS Performance Standards	The AME DSS will be available 22 hours per calendar day, seven days per week 99.5 percent of the time, except during scheduled downtime as agreed to by the State.	Systems Integration Test (SIT), Performance Management Test (PMT), and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
PERF2.08	SLA: The DSS must report within 10 minutes of catastrophic error detection, any unauthorized downtime and maintain a month-to-date (MTD), and year-to- date (YTD) summary of all unscheduled downtime. The reporting should distinguish between full system downtime and application-specific, or functional driven downtime. Metric: 100% of all DSS downtime incidents must be reported and tracked.	Y	A	3/19/2013	Attachment G2, Section 2.10.3 DSS Performance Standards	Optum's Service Desk will immediately open a problem ticket in our service desk problem tracking system, and notify the appropriate State staff of any catastrophic error detection and unauthorized downtime as soon as possible, but within 10 minutes at the latest. Optum will track these events and report them on a MTD and YTD summary through our SLA performance management dashboard. The catastrophic error detection and unauthorized downtime events will be tracked and reported 100 percent of the time.	Systems Integration Test (SIT), Performance Management Test (PMT), and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
PERF2.12	SLA: The DSS response time for print initiation must be within two seconds. Print initiation time is the time elapsed from the command to print a screen or report until it appears in the appropriate queue. Metric: 99% of all DSS print initiation response times are within two seconds	Y	A	3/19/2013	Attachment G2, Section 2.10.3 DSS Performance Standards	The AME DSS response time for print initiation will be within two seconds at least 99 percent of the time	Performance Management Test (PMT) and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
PERF2.14	SLA: The DSS time to access a new screen or page must be less than two seconds. New screen or page time is the time elapsed from the time a new screen is requested until the data from the screen appears or loads to completion on the display. Metric: 99% of all DSS screen changes are completed within two seconds.	Y	A	3/19/2013	Attachment G2, Section 2.10.3 DSS Performance Standards	The AME DSS response time for displaying screen changes will be within two seconds 99 percent of the time. Optum understands this metric to measure response time to move between pages within the AME DSS application software and is not related to ad-hoc query or report execution response times.	Performance Management Test (PMT) and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
PERF2.15	SLA: The DSS time to perform a record retrieval must be less than four seconds. Record retrieval time is the time elapsed after the retrieve command is entered until the record data appears or loads to completion on the display. Metric: 99% of all DSS record retrieval responses are completed within four seconds.	Y	A	3/19/2013	Attachment G2, Section 2.10.3 DSS Performance Standards	The AME DSS response time for completing record retrieval will be within than four seconds 99 percent of the time. Optum will work with the State to establish a number of mutually agreed upon benchmark queries to measure the performance of the system as defined in these requirements. Optum will define the queries and review the queries with the State on an annual basis, modifying, and maintaining the queries as required by the State, and as mutually agreed, over the term of the contract. We will execute the queries two times per day in the Production Reporting environment during business hours, once during peak usage hours and once during low usage hours. We will provide the results to the State for review and load the data to our SLA performance management dashboard.	Performance Management Test (PMT) and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
PERF2.16	SLA: The DSS screen edit display time must be less than two seconds. Screen edit time is the time elapsed after the last field is filled on the screen with an enter command until all field entries are edited with errors highlighted on the display. Metric: 99% of all DSS screen edits are displayed within two seconds.	Y	A	3/19/2013	Attachment G2, Section 2.10.3 DSS Performance Standards	The AME DSS software performs edits for validity and completeness for each field as they are entered by the user on the page. Any errors or edit messages will be displayed to the user for correction within two seconds or less 99 percent of the time.	Performance Management Test (PMT) and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
PERF2.18	SLA: The DSS Solution's use of image retrieval time must be less than two seconds. Each subsequent page of the same document (or a claim and its attachments) must be displayed in one second. Image retrieval time is the time elapsed after the retrieve command is entered and until the image data appears or loads to completion on the display. Metric: 99% of all subsequent pages using Image Retrieval are displayed within one second.	Y	A	3/19/2013	Attachment G2, Section 2.10.3 DSS Performance Standards	Optum anticipates that the Core System document imaging Shared Services component will be responsible for storing document images. The Optum AME DSS data warehouse will have the capability to store hyperlinks at the claim record level for the associated images stored within the Core System document imaging system. The AME DSS response time for retrieving the first page of an image will be within two seconds, and subsequent pages of the same document image will be displayed within than one second 99 percent of the time after the document image is returned to the AME DSS from the Core System document imaging system.	Performance Management Test (PMT) and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
PERF2.19	SLA: The DSS web browser responses must be less than four seconds. Web browser response time is the elapsed time from the command to view a response until the response appears or loads to completion on the user's display. Metric: 99% of all DSS Web browser responses are completed within four seconds.	Y	A	3/19/2013	Attachment G2, Section 2.10.3 DSS Performance Standards	The AME DSS response time for the AME DSS web browser will be within four seconds 99 percent of the time. Optum understands this metric to measure response time of the web browser software used by the AME DSS application software and is not related to ad-hoc query or report execution response times	Performance Management Test (PMT) and Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
PERF2.20	SLA: The Contractor will submit schedule and pricing estimates for a Change Request back to the State within ten State work days after receiving the request. Metric: Submit schedule and pricing estimates to the State 90% of the time and within thirty (30) State work days 100% of the time.	Y	A	3/19/2013	Attachment G2, Section 2.10.3 DSS Performance Standards	The Optum Project Manager will submit schedule and pricing estimates for modification the AME DSS to the State within ten State work days, 90 percent of the time and within 30 days 100 percent of the time. When a request is received, the Optum Project Manager will review the complexity of the request with the appropriate staff to determine the level of analysis needed to provide a schedule and pricing estimate. Once this determination has been completed, the Optum Project Manager will then provide the anticipated timeframe to deliver the schedule and pricing estimate to the State. This will provide the State a clear timeframe to expect the schedule and pricing estimate, instead of submitting a request and receiving no further communication prior to delivery of the estimate.	Project Monitoring
PERF2.21	SLA: The Contractor will complete Change Requests from the State within the original schedule and budget. Metric: Complete Change Requests within the original schedule and budget 98% of the time.	Y	A	3/19/2013	Attachment G2, Section 2.10.3 DSS Performance Standards	Optum will complete Change Requests within the estimated schedule and budget at least 98 percent of the time. Optum's experienced staff has a strong background in the implementation, operation and maintenance of decision support systems such as the AME DSS. An excellent example of this is our track record of 100 percent on-time and on-budget implementations of DW/DSS systems. This experience gives us the in-depth understanding and knowledge needed to be able to provide the State with realistic, accurate budget and schedule estimates for the design, development, testing and implementation of any Change Requests for the AME DSS.	Project Monitoring
PERF2.22	SLA: The Contractor will provide Provider training to all users affected by a completed Change Requests no later than thirty (30) State work days after the implementation of the M&E. Metric: Complete M&E training within 30 State work days 98% of the time.	Y	A	3/19/2013	Attachment G2, Section 2.10.3 DSS Performance Standards	Optum will work with the State to identify training requirements during the design phase of maintenance and enhancement (M&E) requests and determine the appropriate audience for any training to be provided. Optum does not anticipate the provider community will access the AME DSS or require training on any M&E requests.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
PERF2.23	<p>SLA: The Contractor will prioritize all Severity Levels and seek to resolve them according to the established timeframes for the production operating environment: Metric: Resolve all defects within the following timeframes: 1. Severity Level 1 Defects – Within 24 hours. 2. Severity Level 2 Defects – Within three calendar days. 3. Severity Level 3 or higher – Within an agreed upon schedule between the Contractor and the State after the defect was identified.</p>	Y	A	3/19/2013	Attachment G2, Section 2.10.3 DSS Performance Standards	<p>The Optum Service Desk will be responsible for creating and updating information regarding problem tickets into the BMC Footprints Service Desk system. When the problem ticket is entered into the system, the appropriate triage function will be performed, and an individual will be assigned to the issue. This individual will have the required subject matter and organizational knowledge, and be in a position to provide the level of support required to satisfactorily resolve the request or issue. If the problem is suspected to be a Severity Level 1 Defect (resolve within 24 hours) or Level 2 Defect (resolve within 3 calendar days), the Optum Project Manager is notified. With this discipline, the Optum Project Manager is engaged on all suspected high priority problems without delay, regardless of notification source.</p>	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
3.1.1.1	DSS Responsibilities - State				Attachment G2, Section 3.1.1.1		
T11DSSR.1	Identify the data that must be maintained on the DSS and the frequency of updates	N/A	N/A	3/19/2013	Attachment G2, Section 3.1.1.1	Optum acknowledges the State of Arkansas' role and responsibility for this requirement. The Optum AME DSS solution is a very flexible. We have worked with many states on the data types and frequency. One of the strengths of our solution is the ability to quickly incorporate new data elements and the ability to stagger various load updates based on our customer's requirements.	State responsibility
T11DSSR.2	Review reports and notify the Contractor of any problems	N/A	N/A	3/19/2013	Attachment G2, Section 3.1.1.1	Optum acknowledges the State of Arkansas' role and responsibility for this requirement. We feel strongly in working in collaboration with our clients to make sure information delivered through reports and other mechanisms are accurate.	State responsibility
3.1.1.2	DSS Responsibilities - Contractor						
DSSSS2.13	Provide a monthly drug claim report on claims that exceed \$500 per claim. Identify them via workflow to highlight as they happen.	Y	A	3/19/2013	Attachment G2, Section 3.1.1.2	The Optum AME DSS data warehouse will contain the data elements necessary to create a report of drug claims that exceed \$500. The IBM Cognos reporting software will be used to create the report containing details on the drug claims from the AME DSS data warehouse extracted from the Core System that meet the specified selection criteria. This report will be scheduled to automatically run on a monthly basis, or more frequently if desired. Optum will work with the State to design the report to the user's requirements during the requirements analysis task in Phase II.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
DSSSS3.8.2	Provide queries that track financial transactions impacting funding down to the category-of-service level. Provide standard reports that combine data from the current Core System' 244 and 210 reports in a format to be defined by the State.	Y	A	3/19/2013	Attachment G2, Section 3.1.1.2	Optum will work with the State during requirements analysis tasks in Phase II to define the Core System 244 and 210 reports to determine the source data elements, including category of service and other funding data that needs to be extracted from the MMIS into the AME DSS data warehouse to support creation of these reports. However with out flexible data model and expert business analysts and subject matter experts, we could do these reports on an ad hoc basis first and have done similar work for other customers. Optum will work with the State to determine how to appropriately combine delivery of the Core System's 244 and 210 reports and deliver the required format using the Cognos BI reporting software.	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
DSSSS3.13	Maintain a privacy and security program in compliance with HIPAA rules and the State policies.	Y	A	3/19/2013	Attachment G2, Section 3.1.1.2	Optum's Security and Privacy Plan will include the details on the risk analysis that will be performed by Optum's network and security staff, including but not limited to: Data center and office physical site security; Administrative controls and other internal controls for policy compliance including Arkansas data security and privacy rules, HIPAA; PHI awareness; Unauthorized usage; Identity management.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
DSSSS3.17	Develop standard Medicaid management information queries that retrieve data without relying on programmers or predetermined reports.	Y	A	3/19/2013	Attachment G2, Section 3.1.1.2	The ad hoc query and reporting capability of the AME DSS will be very powerful. Power and casual users alike will be able to produce both detail and summary-level reports, with the ability to subset data relevant to specific operational units or user communities. Users can subset data and create norms/benchmarks for use in queries and reports using customized hierarchies. Such flexibility in reporting allows the State to go far beyond reporting on just those areas of focus within the MMIS.	Project Monitoring
DSSSS3.22	Provide technical and end-to-end user training on a schedule to be determined by State.	Y	A	3/19/2013	Attachment G2, Section 3.1.1.2	The proposed AME DSS Training Program will be developed using a proven training methodology --- one we have used repeatedly to deliver successful end user training programs for multiple Medicaid data warehouse and DSS implementations in several other states (e.g., in Michigan, Minnesota, Utah, and California). This training will be delivered on a schedule to be determined by the State. Please refer to AME DSS Proposal Attachment G2, Section 2.6, Training Plan for details on Optum's comprehensive approach to end-to-end user training.	Project Monitoring
DSSSS3.23	Propose enhancements to the DSS.	Y	A	3/19/2013	Attachment G2, Section 3.1.1.2	Optum will provide suggestions for AME DSS enhancements based on enhancement experience with other Optum DSS solutions and associated applications that have been successfully applied to Medicaid programs in other states. Of particular benefit to the State is our involvement with Health Information Exchanges (HIE), Provider Incentive Payment (PIP) calculations, and enterprise-wide health and human services data warehouse solutions. For other state DSS solutions we have implemented a wide range of enterprise data sets that result in improved cost quality and outcomes for those Medicaid programs. Data sets and associated analytics that have proven valuable are adding birth and death registries, WIC and EPSDT, and MDS and HCBW assessment data. For example, in Illinois, analysis based on the combination of claims, provider, and eligibility data with data from the birth registry and EPSDT is a cornerstone of their program to reduce low birth weight Medicaid deliveries. This program focuses on opportunities to create interventions in the pre or inter natal periods with mothers at high risk for low birth weight delivery.	Project Monitoring
DSSSS3.27	Submit balancing and validation reports to the State.	Y	A	3/19/2013	Attachment G2, Section 3.1.1.2	Balancing and validation reports will be executed during each data load cycle performed in the AME DSS. These reports will be delivered to the State to demonstrate the validity of data with the AME DSS and balancing between the Core system and the AME DSS. The selected data elements to be used in metrics (sum, count distinct, max) calculations for balancing will be mutually determined during the project Requirements Validation task.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
DSSSS3.33	Ensure DSS standard reports are available as scheduled by State.	Y	A	3/19/2013		Optum will monitor the execution of reporting through Cognos Connection and ensure they are available as scheduled by the State. A component of Cognos, called Cognos Connection, provides a full scheduling functionality that can run reports immediately or on a user-defined periodicity. This flexible functionality provides a variety of scheduling options, such as the ability to have a report run automatically on a specified day (i.e. 1st and 15th) of the month, or day of the week and time (i.e. every Monday at 9am). Through Cognos Connection, scheduling capability, output, and distribution is determined. The user can choose prompt values for the scheduled report, output format (e.g., Excel, CSV, PDF), save the result set to a personal or public folder, as well as send the scheduled report to a user-defined email distribution list where the report can either be embedded and/or a link included in the body of the email.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
DSSSS3.34	Provide a process to allow ad-hoc reports to become standard as requested by State.	Y	A	3/19/2013	Attachment G2, Section 3.1.1.2	Cognos offers DHS and Optum staff the ability to develop, implement, and manage both production and ad hoc reports. As end users develop new ad hoc reports, Optum will work to develop standards and recommendations for certain reports to be moved to production as standard reports. We will also look for opportunities to share queries among users or to turn them into production reports. Cognos Connection can be used to publish, find, manage, organize, and view business content, such as reports, queries, and dashboards. With necessary permissions, users can access content administration, including scheduling and distributing reports, and creating jobs.	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
DSSSS3.35	Provide a usage report for management with number of reports, name, subject matter, type, and reports with similar outcomes.	Y	A	3/19/2013	Attachment G2, Section 3.1.1.2	The Optum AME DSS solution stores information on audit and system usage in an audit reporting database. This database provides the ability to produce reporting for a variety of usage information, including report title, tables and columns that were accessed, user name, and type of report. The audit data also provides execution history by user, and shows by report the execution time, report name, number of times executed, and run time. Optum will design a usage report that provides a usage report that includes number of reports, name, subject matter, type and reports with similar outcomes. We currently provide these report for all our clients, in California, it is specifically used to develop training strategies for the various end users.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
DSSSS3.44	Perform trend analysis reports for federal agencies or the State.	Y	A	3/19/2013	Attachment G2, Section 3.1.1.2	Optum will work with DHS to perform trend analysis reports for Federal agencies and the State. The Optum proposed AME DSS will provide a broad spectrum of analytic capabilities including analytical reporting, trending, scenario modeling (what-if analysis) and statistical analysis using a combination of various components of the solution. These components include: Cognos Report Studio; Cognos Query Studio; Cognos Analysis Studio; IMARS Module; Oracle OLAP functions; and Symmetry Groupers (Episode Treatment Groups and EBM Connect)	Project Monitoring and UAT as described in Optum's TEMP.
DSSSS3.45	Provide monthly summary management reports by month, including but not limited to reporting on the number of premium checks processed per day and monthly totals collected.	Y	A	3/19/2013	Attachment G2, Section 3.1.1.2	Optum acknowledges and will comply with this requirement. Cognos Report Studio can create crosstab reports that show data in rows and columns. The values at the intersection points of rows and columns can show summarized information rather than detailed information.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
DSSSS3.47	Assist the State in creating the capability to alert end-users when there is an ad hoc report with the same or similar data fields in the central repository to prevent duplication of reports.	Y	A	3/19/2013	Attachment G2, Section 3.1.1.2	The alert functionality does not currently exist within the IBM Cognos 10 BI software. We will work with the State to submit an enhancement request to IBM for this functionality.	If the assistance provided the State requires development, Optum will activate testing procedures described in our Test and Evaluation Management Plan including UAT.
OFAO1.7	Provide staff with DSS expertise and analytical abilities to train State end-users in data analysis, query design, and execution.	Y	A	3/19/2013	Attachment G2, Section 3.1.1.2	Cognos 10 currently provides an Enhanced Search function. The Search function allows users to explore their business intelligence content. It quickly and securely accesses both structured and unstructured information using a standard search interface.	Project Monitoring
OFAO1.9	Provide staff with DSS expertise and analytical abilities to provide business intelligence reporting training to State business intelligence "super end-users."	Y	A	3/19/2013	Attachment G2, Section 3.1.1.2	Optum will provide the State with a team of highly qualified professionals that has combined business and technical experience in the complete life cycle of data warehouse implementations specific to Medicaid, as well as, knowledge of the Arkansas Medicaid program and information systems environment. Our training program is augmented with highly skilled training resources who are not just training instructors, but are also subject matter experts and business analysts. They will be involved in conducting Training JAD sessions, preparing training course materials, preparing the Training Plan, and delivering many of the training classes.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
OFAO1.12	Provide staff with DSS expertise and analytical abilities to train State end-users on fraud and abuse detection using business intelligence reporting tools. Tools are to include: 1. Researching data sources 2. Reviewing reports and establishing report parameters 3. Analyzing fraud and abuse detection data 4. Providing training to end end-users 5. Helping to produce complex reports	Y	A	3/19/2013	Attachment G2, Section 3.1.1.2	Optum will provide highly experienced fraud and abuse consultants with the expertise and analytical abilities to train appropriate AME DSS users on fraud and abuse detection techniques using the tools provided with the Optum AME DSS, including Cognos and our FADS products. Drawing on years of fraud and abuse detection experience in several Medicaid and other healthcare programs around the country, our consultants will train DHS staff on the techniques and processes to use the AME DSS tools	Project Monitoring
OFAO1.13.1	Provide DSS expertise and analytical abilities to train State end-end-users on financial requirements using business intelligence reporting tools. Tools are to include: 1. Researching and analyzing data 2. Reviewing reports and establishing report parameters 3. Producing complex data queries 4. Optimize Program Integrity: Management and Administration (MAR) and (SUR) queries 5. Researching data sources	Y	A	3/19/2013	Attachment G2, Section 3.1.1.2	Optum recognizes the vital role that a comprehensive end-user training program will play in helping the user community make effective use of the suite of data access and advanced analytical tools available on the AME DSS. Our Training Plan focuses on knowledge transfer of the essential knowledge to State staff. Our training focus will not be directed solely on the technology (product/tool features and functions), but equally; a strong emphasis will be placed on how to make effective use of the tools to develop expertise and analytical abilities on financial requirements using business intelligence tools. The training will give users the ability to: 1. Research and analyze data 2. Review reports and establish report parameters 3. Produce complex data queries 4. Optimize Program Integrity: Management and Administration (MAR) and (SURS) queries 5. Research data sources Please refer to Proposal Attachment G2, Section 2.6 Training Plan for details on Optum's comprehensive approach to end-to-end user training. Our staffing strategy will also provide DHS additional on-going support. As we have found for our work in other states it is important to continually mentor and teach DHS staff these skills which is one of the reason why we have proposed continual (MAR) support continual (SUR) support as well as extensive business analysis staff (5) under the direction of a very senior Business Solution Manager, Mr. Steve Quaal. Steve has extensive past experience in working with other state Medicaid programs.	Project Monitoring
OFAO1.15	Provide DSS expertise on establishing report parameters, and analyzing data; on query report design and execution to Pharmacy end-end-users.	Y	A	3/19/2013	Attachment G2, Section 3.1.1.2	As stated in the response to requirement OFAO1.14, Optum will train AME DSS users on establishing report parameters, and analyzing data; on query report design and execution.	Project Monitoring
PAY4.2	Provide all ad-hoc and system generated reports that currently support the financial reporting function. See Resource Library.	Y	A	3/19/2013	Attachment G2, Section 3.1.1.2	Cognos BI reporting and analysis tools are used to access and report data from the core data warehouse repository extracted from the Core System. Data in the data warehouse repository -- including reference listings of procedures, diagnoses, and formulary - is available for standard and ad hoc reporting, using common names for elements, as well as for supplying other included analytic processes.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
PISS3.21	Develop queries to identify and report on new Providers and capture billing practices based on criteria defined by State.	Y	A	3/19/2013	Attachment G2, Section 3.1.1.2	The Optum FADS is described in more detail in Sections 3.1.4 through 3.1.7 and will meet this requirement for all providers - new or old.	Project Monitoring and UAT as described in Optum's TEMP.
3.1.1.3	Key Performance Indicators - DSS						

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
DSP1.3	Resolve DSS functionality errors within five State work days of identification of the error.	Y	A	3/19/2013	Attachment G2, Section 3.1.1.3	We will work with the State to assign the priority according to the severity of the defect, and adopt the State's defect severity ratings and resolution response times: Priority 1 - Fewer than five calendar days Priority 2 - In the next monthly release Priority 3 - Within the next monthly releases Priority 4 - Within the next three monthly releases Priority 5 - Within a schedule to be mutually agreed upon If the problem is suspected to be a Priority 1 or Priority 2, the Optum project manager, Mr. Steve Grimshaw, will be notified. With this process discipline, the Optum project manager is engaged on all suspected high priority problems without delay. Mr. Grimshaw will routinely meet and work with other key members of the Optum AME DSS staff and the State to review and approve problem tickets, interim responses, and develop Corrective Action Plans (CAP) according the priority level response time requirements. Mr. Paul Claseman, our Technical Solution Manager, has more than 20 years of data system experience, and Ms. Vrinda Dabke, our Testing Manager, also has more than 20 years of data system experience will be called on by Mr. Grimshaw to respond to problems and develop CAP content. CAPs will detail problems and suggested resolutions in effort to prevent abnormalities from occurring or recurring. Under the guidance of the Optum project manager, Mr. Grimshaw, the project team will be responsible for continuous process improvement, including root-cause analysis, error detection and error correction. In our experience since 1994, we have never experienced DSS system errors we could not fix within five business days from notification.	Project Monitoring
DSP1.5	Generate unique Program Integrity reports within two State work days. Unique Program Integrity reports are those that require technical input for design and execution and may require use of historical data or reconciliation of data sources.	Y	A	3/19/2013	Attachment G2, Sections 3.1.4 through 3.1.7	During the Design, Development, and Implementation phase of the AME DSS, the ad hoc component of the AME DSS and the FADS data mart will go through user acceptance testing (UAT) and a data reconciliation process. Optum will validate the use of historical data or reconciliation of data sources during DDI and understands that unique PI reports are those that may require technical input for design and execution. The Optum FADS permits users to generate unique PI reports within two State work days. The ad hoc query functionality of the AME DSS allows additional flexibility in building unique Program Integrity reports within two State work days. Optum AME DSS Program Integrity Business Analysts with any necessary support from FADS/SURS consultants will be able to generate unique Program Integrity reports within two State work days.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
DSP1.6	Respond to State requests to run unscheduled reports within one State work day of receipt of request from State and provide an estimated delivery date.	Y	A	3/19/2013	Attachment G2, Section 3.1.1.3	We perform similar activities for our other State DSS clients, such as New Jersey, California, Washington, Michigan, Illinois, etc. and is one of reasons we have staffed the AME DSS project with a very Senior Business Solution Manager, 2 Business Analyst/SMEs and 4 Report Specialists. .	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
DSP1.7	Respond to State requests to design new reports within one State work day of receipt of request from State and provide an estimated delivery date.	Y	A	3/19/2013	Attachment G2, Section 3.1.1.3	We perform similar activities for our other State DSS clients, such as New Jersey, California, Washington, Michigan, Illinois, etc. and is one of reasons we have staffed the AME DSS project with senior Business Analyst with reporting skills.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
DSP1.8	Execute basic and advanced online queries, within the following time constraints: 1. Basic queries (predefined) will be returned within five minutes of executing the query 2. Advanced queries will be returned within 15 minutes of executing the query, or if not completed within 15 minutes the system must provide expected delivery time at query submission	Y	A	3/19/2013	Attachment G2, Section 3.1.1.3	As clarified in response to questions, the Optum DSS will return a message to submitting users that the query is running in the background and in process. The Optum DSS will return such an acknowledgement within 5 minutes for simple queries and 15 minutes for advanced queries. Our experience and expectation is that users will receive acknowledgement in much shorter time frames.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
PAY4.15	Access to archived history for query purposes must be available within two State work days.	Y	A	3/19/2013	Attachment G2, Section 3.1.1.3	Optum will develop a data archival strategy for the State to review and approve for rolling off data from the AME DSS data warehouse that exceeds the 10 year history retention requirement. Data that has been archived according to the approved data archival strategy can be retrieved and reloaded for a specified period in the AME DSS data warehouse. Optum will work with the State to accommodate these situations and will have the data available within two State work days. This capability will depend on the amount of archived data being requested to be reloaded and any impacts on storage capacity for the AME data warehouse. In reality, many of our DSS solutions contain more than 10 years of data per our client's request.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
3.1.2.1	Claims Analysis Responsibilities - State						State responsibility
T14CAR.1	Establish sample criteria and provide required inputs	N/A	N/A		Attachment G2, Section 3.1.2.1	Optum acknowledges the State of Arkansas role and responsibility for this requirement.	State responsibility
T14CAR.2	Request samples to be selected for reviews monthly or as needed	N/A	N/A		Attachment G2, Section 3.1.2.1	Optum acknowledges the State of Arkansas role and responsibility for this requirement.	State responsibility
T14CAR.3	Identify the general types of claim documentation needed to complete claim reviews and request the documentation from the Contractor for sample claims	N/A	N/A		Attachment G2, Section 3.1.2.1	Optum acknowledges the State of Arkansas role and responsibility for this requirement.	State responsibility
T14CAR.4	Review and approve Contractor policies for claims analysis process	N/A	N/A		Attachment G2, Section 3.1.2.1	Optum acknowledges the State of Arkansas role and responsibility for this requirement.	State responsibility
T14CAR.5	Establish goals and objectives for the claims analysis process	N/A	N/A		Attachment G2, Section 3.1.2.1	Optum acknowledges the State of Arkansas role and responsibility for this requirement.	State responsibility
T14CAR.6	Provide all system functionality to support business office operations	N/A	N/A		Attachment G2, Section 3.1.2.1	Optum acknowledges the State of Arkansas role and responsibility for this requirement.	State responsibility
3.1.2.2	Claims Analysis Responsibilities - Contractor						
T15CAR.1	Develop or input the report algorithms in the system that generate the reports using the sample criteria by the State.	Y	A	3/19/2013	Attachment G2, Section 3.1.2.2	Optum will work with the State to design and develop the report algorithms to generate reports using sample criteria. Optum will also develop the report algorithms in the Optum IMARS system to generate required claim processing activity and statistics, including claims processing time, financial aged analysis, remittance and payment summaries, suspended/denied claim reporting, and processing cycle time analysis by different categories. Optum also brings algorithms and expertise to support the State's efforts to identify and curtail fraud waste and abuse. Optum will also be providing ETGs and storing episode information in the data models for episode based claims analysis. Episodes of care are an important component of payment reform and but are useful in many kinds of claims based analysis relating to cost, quality and outcomes.	Project Monitoring and UAT as described in Optum's TEMP.

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T15CAR.2	Produce reports relating to claims analysis as defined by the State.	Y	A	3/19/2013	Attachment G2, Section 3.1.2.2	During the Requirements Analysis tasks in Phase II, Optum will work with the State to define a set of reports for claims analysis. Optum will work with the State Project Director to prioritize the defined reports. The master list of prioritized reports will be the basis of work planning for report development. At the direction of the AME DSS State Project Director, Optum resources will be allocated and managed to produce reports in this priority order. Reports will be managed through the project plan and appropriate required State project reports and plans.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
T15CAR.3	Provide expertise to define claims analysis processes and develop data search tools and capabilities to achieve State objectives.	Y	A	3/19/2013	Attachment G2, Section 3.1.2.2	The Optum AME DSS staff will have the expertise to work with the State to define claims analysis techniques. The Optum staff will also draw on their expertise from other DW/DSS projects to develop reports to search for specific situations to identify claims processing issues, utilization issues such as pharmacy claims that exceed \$500, and other objectives defined by the State.	Project Monitoring and UAT as described in Optum's TEMP.
3.1.2.3	Key Performance Indicators - Claims Analysis						
T16CAR.1	Provide DSS historical data within five seconds of request.	Y	A	3/19/2013	Attachment G2, Section 3.1.2.3	As clarified in response to questions, the Optum DSS will return a message to submitting users that the query running against historical claims data is running in the background and in process. The Optum DSS will return such an acknowledgement within 5 minutes for simple queries and 15 minutes for advances queries. Our experience and expectation is that users submitting will receive acknowledgement in much shorter time frames. Optum will work with the State to establish a number of mutually agreed upon benchmark queries to measure the performance of the system as defined in these requirements. Optum will define the queries and review the queries with the State on an annual basis, modifying, and maintaining the queries as required by the State, and as mutually agreed, over the term of the contract. We will execute the queries two times per day in the Production Reporting environment during business hours, once during peak usage hours and once during low usage hours and we will provide the results to the State for review and load the data to our SLA performance management dashboard.	Project Monitoring and Performance Management Testing (PMT) as described in Optum's TEMP.
T16CAR.2	Complete a record search in less than four seconds.	Y	A	3/19/2013	Attachment G2, Section 3.1.2.3	As clarified in response to questions, the Optum DSS will return a message to submitting users that the query is running in the background and in process. The Optum DSS will return such an acknowledgement within four seconds for claims based queries. Optum will work with the State to establish a number of mutually agreed upon benchmark queries to measure the performance of the system in executing claims based queries as defined in these requirements. Optum will define the queries and review the queries with the State on an annual basis, modifying, and maintaining the queries as required by the State, and as mutually agreed, over the term of the contract. We will execute the queries two times per day in the Production Reporting environment during business hours, once during peak usage hours and once during low usage hours and we will provide the results to the State for review and load the data to our SLA performance management dashboard.	Project Monitoring and Performance Management Testing (PMT) as described in Optum's TEMP.
T16CAR.3	Complete an ad hoc and on-demand reports within five seconds.	Y	A	3/19/2013	Attachment G2, Section 3.1.2.3	Optum will work with the State to establish a number of mutually agreed upon benchmark queries to measure the performance of the system as defined in these requirements. Optum will define the queries and review the queries with the State on an annual basis, modifying, and maintaining the queries as required by the State, and as mutually agreed, over the term of the contract. We will execute the queries two times per day in the Production Reporting environment during business hours, once during peak usage hours and once during low usage hours and we will provide the results to DHS for review and load the data to our SLA performance management dashboard.	Project Monitoring and Performance Management Testing (PMT) as described in Optum's TEMP.
3.1.3.1	Pharmacy Audits Responsibilities - State						

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T17AU.1	Provide policy direction and make administrative decisions	N/A	N/A		Attachment G2, Section 3.1.3.1	Optum acknowledges the State of Arkansas' role and responsibility for this requirement.	State responsibility
T17AU.2	Determine the frequency, content, format, media, and number of copies and distribution of reports	N/A	N/A		Attachment G2, Section 3.1.3.1	Optum acknowledges the State of Arkansas' role and responsibility for this requirement.	State responsibility
T17AU.3	Review and approve the Contractor's procedures for conducting reviews	N/A	N/A		Attachment G2, Section 3.1.3.1	Optum acknowledges the State of Arkansas' role and responsibility for this requirement.	State responsibility
T17AU.4	Determine corrective action processes for Contractor use	N/A	N/A		Attachment G2, Section 3.1.3.1	Optum acknowledges the State of Arkansas' role and responsibility for this requirement.	State responsibility
T17AU.5	Action taken on audit report	N/A	N/A		Attachment G2, Section 3.1.3.1	Optum acknowledges the State of Arkansas' role and responsibility for this requirement.	State responsibility
3.1.3.2	Pharmacy Audits Responsibilities - Contractor						
AU1.1	Perform audits (e.g., on-site and desk level audits).	Y	A	3/19/2013	Attachment G2, Section 3.1.3.2	Subcontract with National Audit for Pharmacist, Pharm Techs, BA and auditors	Project Monitoring
AU1.2	Perform pharmacy audit functions to include, but not be limited to, policy issues as Usual and Customary and NDC miss-bill.	Y	A	3/19/2013	Attachment G2, Section 3.1.3.2	Subcontract with National Audit for Pharmacist, Pharm Techs, BA and auditors	Project Monitoring
AU1.3	Perform audits on drugs that have fiscal integrity edits implemented.	Y	A	3/19/2013	Attachment G2, Section 3.1.3.2	Subcontract with National Audit for Pharmacist, Pharm Techs, BA and auditors	Project Monitoring
AU1.4	Audit all claims that have been selected for audit. Recoupment documentation and any other supporting documentation must have notation entered into system for recognition of audit recoupment (modify the claim dollar amount with a notation of the recoupment without actual reverse and rebill that would interfere with rebates).	Y	A	3/19/2013	Attachment G2, Section 3.1.3.2	Subcontract with National Audit for Pharmacist, Pharm Techs, BA and auditors	Project Monitoring
3.1.3.3	Key Performance Indicators - Pharmacy Audits						
AU2.1	Complete one quarter of the Pharmacy Provider audits each three month period of the year.	y	A	3/19/2013	Attachment G2, Section 3.1.3.3	Service: Pharmacy audits through subcontractor National Audit	Audit production tracking
AU2.2	Submit all audit recoupment reports and supporting documentation in accordance with Arkansas PIU department guidance.	Y	A	3/19/2013	Attachment G2, Section 3.1.3.3	Service: Pharmacy audits through subcontractor National Audit	Audit Coordination with PIU
AU2.3	Provide a dedicated staff in adequate numbers to perform the necessary pharmacy audit functions.	Y	A	3/19/2013	Attachment G2, Section 3.1.3.3	Service: Pharmacy audits through subcontractor National Audit	Project Monitoring
AU2.4	Provide staffing to include a pharmacist licensed in the State of Arkansas, a pharmacy technician with good analytical accounting skills, and a data analyst with knowledge of Medicaid Programs along with ICD-9, ICD-10, CPT Codes. (see Section 3.2)	Y	A	3/19/2013	Attachment G2, Section 3.1.3.3	Service: Pharmacy audits through subcontractor National Audit	Project Monitoring
AU2.7	Complete a desk audit within 30 days of notification for miss-bills or any billing issues.	Y	A	3/19/2013	Attachment G2, Section 3.1.3.3	Service: Pharmacy audits through subcontractor	Project Monitoring
AU2.8	Audit every enrolled pharmacy Provider at a minimum of once yearly.	Y	A	3/19/2013	Attachment G2, Section 3.1.3.3	Service: Pharmacy audits through subcontractor	Project Monitoring
3.1.4.1	Provider Profiling Responsibilities - State						

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T20PP.1	Provide policy direction and make administrative decisions regarding SURS	N/A	N/A		Attachment G2, Section 3.1.4.1	Optum acknowledges the State of Arkansas' role and responsibility for this requirement.	State responsibility
T20PP.2	Determine the frequency, content, format, media, and number of copies (if hard copies are required) and distribution of reports	N/A	N/A		Attachment G2, Section 3.1.4.1	Optum acknowledges the State of Arkansas' role and responsibility for this requirement.	State responsibility
3.1.4.2	Provider Profiling Responsibilities - Contractor						
PP1.1	Improve delivery of health care services and the integrity of the Medicaid program by reducing waste, fraud, and abuse through analysis of Provider performance.	Y	A	3/19/2013	Attachment G2, Sections 3.1.3 through 3.1.7	<p>Optum provider profiling will contribute to the improvement in the delivery of health care services and the integrity of the Medicaid program by reducing waste, fraud, and abuse through analysis of provider performance. The SURS component of FADS, which is used in many Medicaid programs and certified by CMS, will strongly support ongoing achievement of this goal.</p> <p>As one of a state's overpayment detection tools, the SURS component is one of the pivotal pieces of any fraud detection system because it uses a peer grouping methodology to detect potential fraud, abuse, or misuse of the medical assistance programs, by providers or members. Unfortunately, legacy SURS have typically been underutilized by many states, due mostly to complexity, extensive learning curve, long turnaround time for results, and difficulty of use (batch or batch-like mode which translates to infrequent runs, or client/server versions which are not user-friendly or intuitively obvious in their use).</p> <p>The FADS Peer Grouping component, SURS, addresses this problem by providing the State's PI staff with an easy to use, Web-based tool to analyze historical data and develop profiles of health care delivery and service utilization patterns. The Optum SURS component enables users to build their own studies and queries without technical help, on-demand from their desktops, with results available within hours. For example, Optum is helping the Iowa Medicaid Enterprise (IME), a unique combination of State employees and commercial vendors which manage Iowa's \$3 billion Medicaid program, implement a fully-outsourced program integrity effort. This engagement has yielded nearly \$50 million over two years in recoveries and cost avoidance for Iowa through identification of fraud, abuse, errors, and other inappropriate payments using our SURS as part of an overall FADS solution capability.</p> <p>Optum SURS provides a full complement of reports to delineate and disseminate the "suspects" (ranking reports, profiles, frequency distributions, drill-down reports to supporting claims). Drill-down capability is embedded in these reports, enable users to navigate from a summary total in a profile to the underlying claim detail with the simple click of a mouse, and then to export those results to a spreadsheet or .pdf file with another mouse click. This powerful functionality speeds the analysis efforts and greatly increases the productivity of investigative staff.</p>	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
PP1.2	Set, monitor, and report on performance benchmarks that demonstrate sound progress in the detection of fraud and abuse and result in recoupment.	Y	A	3/19/2013	Attachment G2, Section 3.1.4.2	Optum agrees to set, monitor, and report on performance benchmarks to demonstrate sound progress in the detection of fraud and abuse and result in recoupment. Some state's use comparative SURS runs to demonstrate the effectiveness of an education/intervention campaign on a group of providers before and after the education or intervention occurred. Another method has been to compare the State's PI effort to other Medicaid programs of comparable size, payment methodology, and staffing to arrive at a starting point for self-evaluation and to build a future strategy vision for increasing recoveries and cost savings. Optum will provide subject matter experts with state Medicaid PI experience who have been successful in setting and reporting on benchmarks to help advise Arkansas PI. Based on the size and design of the Arkansas Medicaid program, Optum will be able to estimate potential savings by spending category and work with the State to achieve progress to agreed goals. Our experience in both fraud detection and recoupment in states like West Virginia, Colorado, Washington, Kentucky and Iowa will provide the State with some additional ideas and processes to enhance your Program Integrity efforts.	Project Monitoring and FADS team work with the State
PP1.3	Provide access to all books, algorithms, documents, papers, and records related to this Contract, to the State, and its designees at no additional expense to the State.	Y	A	3/19/2013	Attachment G2, Section 3.1.4.2	Optum will provide access to all books, algorithms, papers, and records related to this Contract, to the State, and its designees at no additional expense to the State.	Project Monitoring
PP1.4	Compile Provider profiles.	Y	A	3/19/2013	Attachment G2, Section 3.1.4.2	Optum will compile provider profiles. However, the Optum FADS component will make it simple for AME users to compile their own provider profiles. Users can specify the provider, all or specific types of claims for any dates desired and export this information to Excel or other data formats without the need to request or wait for profile requests to be run and delivered.	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
PP1.5	Provide a profile of health care Providers and Members through which the quality, quantity, and timeliness of services can be identified and assessed.	Y	A	3/19/2013	Attachment G2, Section 3.1.4.2	Optum FADS and the SURS component both provide a profile of health care providers and members through which the quality, quantity, and timeliness of services can be identified and assessed. As stated above in PP1.4 the Browse and Search feature enables users to create these in minutes.	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
PP1.6	Develop and update a parameters file to classify treatment into peer groups by diagnosis or range of diagnosis codes, levels of care, or other methodology for the purpose of developing statistical profiles.	Y	A	3/19/2013	Attachment G2, Section 3.1.4.2	Optum's FADS maintains an online parameter file that can be used to classify treatment into peer groups by diagnosis or range of diagnosis codes, levels of care, or other methodology for the purpose of developing statistical profiles. This online library of parameters will be able to be updated on demand by authorized users.	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
PP1.7	Maintain a process to evaluate the statistical profiles of all individual Providers within each peer group (State specified) against the matching exception criteria established for each peer group.	Y	A	3/19/2013	Attachment G2, Section 3.1.4.2	Optum's FADS Peer Grouping component will evaluate the statistical profiles of all individual providers within each per group (as State specified) against the matching exception criteria calculated or established for each peer group.	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
PP1.8	Provide dashboard to Providers showing how they match with other peers regarding billing and quality comparisons.	Y	A	3/19/2013	Attachment G2, Section 3.1.4.2	Optum will develop statistical profiles showing how providers compare to their peers regarding billing and quality comparisons and provide dashboards accessible by providers to examine this comparative data. This will be accomplished within the data warehouse based on guidance from the State on the types of quality comparisons it wishes to compare.	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
PP1.9	Create a comprehensive profile of health care delivery and utilization patterns established in all categories of services, including prescribed drugs, under the Arkansas Medicaid Program.	Y	A	3/19/2013	Attachment G2, Section 3.1.4.2	Optum's FADS Peer Grouping component can create a comprehensive profile of health care delivery and utilization patterns in all categories of services (including prescribed drugs) under the Arkansas Medicaid Program. It can also be used for managed care encounter claims, member data as well as fee for service claims.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
PP1.10	Provide flexibility and responsiveness in addressing how to accommodate mandated changes with enterprise-wide impacts (including programming, rules, code sets, transactions, and end-user interfaces) such as ICD-10.	Y	A	3/19/2013	Attachment G2, Section 3.1.4.2	Optum software will provide flexibility and responsiveness in accommodating mandated changes with enterprise-wide impacts (including programming, rules, code sets, transactions, and end user interfaces). For example, Optum has already prepared its FADS components to handle claims processed with ICD-10 codes. We will process both ICD-9 and ICD-10 codes in a "native" implementation. Collection of native-coded accounts may help to support claims testing scenarios, as well as identify clinical documentation gaps and enhance productivity over time.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
PP1.11	Review pharmacy Provider profiles and identifying those whose practices indicate potential mis-use of the Arkansas Medicaid Program.	Y	A	3/19/2013	Attachment G2, Section 3.1.4.2	Service: Pharmacy audits through subcontractor	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
PP1.11.1	The Contractor is responsible for annual reviews of all enrolled pharmacy Providers to identify non-compliance with Medicaid pharmacy policy, such as but not limited to U&C pricing compared to Medicaid, 340b pricing, and NDC misbills.	Y	A	3/19/2013	Attachment G2, Section 3.1.4.2	Service: Pharmacy audits through subcontractor	Project Monitoring
PP1.11.2	The Contractor is responsible for visiting pharmacy Provider site to conduct reviews of pharmacy records.	Y	A	3/19/2013	Attachment G2, Section 3.1.4.2	Service: Pharmacy audits through subcontractor	Project Monitoring
PP1.12	Track PI-complaints, track and review reports and follow up on suspected prior abend-users based on past experience.	Y	A	3/19/2013	Attachment G2, Section 3.1.4.2	Optum will track PI-complaints, track and review reports and follow up on suspected abusers based on past experience. The FADS Case Tracking Component will track all complaints. Historical data is retained so that follow up audits can be scheduled to re-check past providers who have violated AME billing policy. This tool will make case management easier for PI managers and assist in reporting requirements. Our case tracking portal is described in more detail in Section 3.1.5.	Project Monitoring
PP1.13	Support fraud and abuse investigations.	Y	A	3/19/2013	Attachment G2, Section 3.1.4.2	Optum and the FADS component will support fraud and abuse investigations. The FADS makes it also possible for the PIU to permit MFCU staff to access and share the FADS Case Tracking System in order to facilitate referral and tracking. We have developed good relations with the MFCUs in other states by creating SURS reports which demonstrate the before and after snapshot of a provider's billing behavior after agency intervention. We also support professional testimony. We will support the PIU in developing the referrals and providing all the data necessary to make the case of fraud or abuse easier to prosecute. All associated materials to support an investigation can be stored in the FADS case tacking system. The investigator can attach the results of that study to the case by using the browser page and similarly for providers / members included in the findings from an algorithm linked to the FADS. Other scanned documents and spreadsheets can be attached. All reports and any profiles produced by these studies and algorithms remain available, so that later during negotiations or potential legal proceedings, the investigator can present a full statistical picture of not just the suspect provider/member but also all others included in that study.	Project Monitoring
PP1.14	Make recommendations for improvements to the SURS area.	Y	A	3/19/2013	Attachment G2, Section 3.1.4.2	Optum will make recommendations for SURS area improvement. We will also bring in ideas from our other SURS installations in nearby states such as Missouri and Iowa, as well as our other 15 states where our FADS solution is installed. We also have a yearly users' conference during National Association for Medicaid Program Integrity (NAMPI) where our customers collaborate on ideas and provide us recommendation to improve our system capabilities.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
PP1.15	Train State end-users on financial requirements using business intelligence reporting tools. Tools are to include: 1. Researching and analyzing data 2. Reviewing reports and establishing report parameters 3. Producing complex data queries 4. Researching data sources	Y	A	3/19/2013	Attachment G2, Section 3.1.4.2	Optum will train State end users on financial requirements using business intelligence reporting tools that include: 1) Researching and analyzing data, 2) Reviewing reports and establishing report parameters, 3) Producing complex data queries, and 4) Researching data sources. Please refer to Proposal Attachment G2, Section 2.6 Training Plan for details on Optum's comprehensive approach to end-to-end user training. There will be specific training for Program Integrity end-users and we will provide 1 FTE to support the SURS unit and an additional Business Analyst 1 FTE to support the DHS Program integrity team. We have found this very helpful in states like New Jersey where one of our Business Analysts is dedicated to supporting the Medicaid Fraud Division (MFD).	Project Monitoring
3.1.4.3	Key Performance Indicators - Provider Profiling						
PP2.1	Within 45 State work days of Contract signing, develop a methodology in accordance with CMS standards to calculate the State of Arkansas' Return on Investment (ROI) for the purpose of calculating PIU efforts and to facilitate comparison of the Division's fraud and abuse recovery efforts against those of other states. The methodology will include both recovered and cost-avoided expenditures.	Y	A	3/19/2013	Attachment G2, Section 3.1.4.3	Optum will develop within 45 days of Contract signing, a draft methodology in accordance with CMS standards to calculate the State of Arkansas' Return on Investment (ROI) for the purpose of calculating PIU efforts and facilitating comparison of the Division's fraud and abuse efforts against those of other states. Comparison assumes that CMS or the AME has and shares access to other state's performance standards. The CMS MIG has stopped portions of its information annual SPIA reporting so finding accurate data for timely comparison may be difficult. Nonetheless, Optum will search other states annual reports for public information and obtain information from our current 15 FADS clients to help Arkansas demonstrate comparability. Optum's ROI methodology for Iowa includes both recovered and cost-avoided expenditures. We will rely initially on our current experience as the Iowa PI Unit and our methodology for calculating cost avoidance savings and present this for review to the PIU as a best practice that is accepted by Iowa as well as CMS. In addition to recovery amounts, our model includes cost avoidance projections based on the change in the behavior of the billing provider. It also includes the savings that occur after implementation of our recommendation in the MMIS editing system. It includes improvements to clinical policy when our subject matter experts provide ideas to the Medicaid program for achieving program savings. The Iowa Recovery and Cost Avoidance Calculation methodology has been fine-tuned over many years and provides an accurate reflection of the complete impact of an overall strategy for Medicaid program savings.	Project Monitoring
PP2.2	Upon notification that any work is not in compliance with the Contract and/or agency specifications, bring work into compliance within five State work days of written notice from the State.	Y	A	3/19/2013	Attachment G2, Section 3.1.4.3	Upon receipt of written notification that Optum work is not in compliance with the Contract and/or agency specification, Optum will bring the work into compliance within five State work days.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
PP2.3	Develop and coordinate the update of the parameters file on the AME to classify Providers into peer groups using criteria such as category of service, Provider type, specialty, type of practice or organization, enrollment status, facility type, geographic region, billing versus performing Provider, and size for the purpose of developing statistical profiles by the end of each quarter, assuring that all Provider types are reviewed in a one-year period.	Y	A	3/19/2013	Attachment G2, Section 3.1.4.3	Section 3.1.4, Peer Grouping addresses how Optum will develop and coordinate the update of the parameters file for AME to classify providers into peer groups using criteria such as: category of service, provider type, specialty, type of practice or organization, enrollment status, facility type, geographic region, billing versus performing provider, and size. Peer groups are created for the purpose of developing statistical profiles by the end of each quarter, assuring that all provider types are reviewed in a one-year period. This will be accomplished using the AME DSS data by building DSS reports specified by the AME. We will also take into account how AME has developed the parameter files in the past and translate best practices into the new system. We will approach this process collaboratively with DHS in order to leverage existing processes and best practices.	Project Monitoring
PP2.4	Develop Medicaid policy-compliant algorithms used in conjunction with the SURS software provided by the SURS System Contractor to identify aberrant claims, including those that clearly do not meet the requirements of the Arkansas Medicaid Program, by analyzing and scoring every claim during a five year period.	Y	A	3/19/2013	Attachment G2, Section 3.1.4.3	Optum will develop Medicaid policy-compliant algorithms from our library of almost 2000 fraud algorithms. These algorithms may be specialized and targeted to a specific category or type of service. They can also be a statistical model which looks at the entire range of providers as a whole, compares them within in their respective groups, and then indicates statistically how each may differ in their billings from their peers. One of our oldest and most producing statistical models is very SURS-like. It looks at all provider billings and then identifies those who are not billing like their peers along with graphics that show which areas are excessive. Investigators can then easily drill down into the specific claims to identify which claims to investigate versus medical records or whether the findings should be referred for fraud investigation. The Optum SURS software component works differently. In SURS the user develops projects that can be a wide or a limited as the investigator wants. The level of specificity or the wideness of the net is a user preference. For example, the SURS can consider all claims within each type of service or be modified to simple sets of code with a service category such as office visit billing or types of ambulance services. The SURS identifies aberrant providers by looking at each provider's billings and comparing them to their peers. The SURS then lists all provider and their claims with a ranking of highest aberrant provider to least. The SURS and the Fraud analytics can analyze and evaluate every claim during the five year period as required. However, we find that PI Units prefer to look at shorter time periods initially to detect current fraud activity, and then modify their SURS criteria to pull in past data in whatever format they prefer. SURS projects can easily be modified to look at past claims over longer periods or to change the study's time period. For example, a five-year study conducted on an annual comparison basis might be preferred to be re-run as semiannually, quarterly, or monthly to make the investigation more manageable. Often times, a MFCU will ask PI SURS staff for project runs showing billing prior to a PI or MFCU intervention (visit or letter) and compare that to the time period after the intervention to determine if the provider changed their billing behavior and became more compliant with their peers. This helps the MFCU make the case in court that the provider was billing improperly prior to the intervention.	Project Monitoring and UAT as described in Optum's TEMP.
3.1.5.1	Review of Cases Responsibilities - State						
DRC1.1	Provide policy direction and make administrative decisions regarding SURS.	N/A	N/A		Attachment G2, Section 3.1.5.1	Optum acknowledges the State of Arkansas' role and responsibility for this requirement.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
DRC1.2	Determine the frequency, content, format, media, and number of copies (if hard copies are required) and distribution of reports.	N/A	N/A		Attachment G2, Section 3.1.5.1	Optum acknowledges the State of Arkansas' role and responsibility for this requirement.	Project Monitoring
DRC1.3	Review and approve the Contractor's procedures for conducting desk reviews.	N/A	N/A		Attachment G2, Section 3.1.5.1	Optum acknowledges the State of Arkansas' role and responsibility for this requirement.	Project Monitoring
DRC2.11	Analyze every paid claim, 100%, utilizing SURS system, fraud alert from various private and government agencies, algorithm published by CMS, and the algorithm developed by the Contractor. The Contractor must develop algorithms at the request of the PIU (the State) and must identify Providers who exhibit aberrant practice or utilization patterns, as determined by an exception process, comparing the individuals' profiles to the limits established for their respective peer groups, reviewing each Provider type scheduled in that quarter.	N/A	N/A		Attachment G2, Section 3.1.5.1	Optum acknowledges the State of Arkansas' role and responsibility for this requirement.	Project Monitoring and UAT as described in Optum's TEMP.
3.1.5.2	Review of Cases Responsibilities - Contractor						
DRC2.3	Provide reports to conduct post and pre-utilization review services for identification of erroneous abusive or otherwise inconsistent claims.	Y	A	3/19/2013	Attachment G2, Section 3.1.5.2	As also described in Section 3.1.6 Surveillance and Utilization Review Responsibilities, Optum will provide reports to conduct post and pre-utilization review services for identification of erroneous abusive or otherwise inconsistent claims. Optum understands pre-utilization reviews will occur when a provider has been placed on pre-payment review and must submit their claim with documentation for an independent review and approval or denial of the billing.	Project Monitoring and UAT as described in Optum's TEMP.
DRC2.7	Review the Arkansas State Plan, Federal and State regulations, and policy to ensure the appropriateness and accuracy of SURS practices.	Y	A	3/19/2013	Attachment G2, Section 3.1.5.2	Optum will review the Arkansas State Plan, Federal and State regulations, and policy to validate the appropriateness and accuracy of SURS practices as we have done in other states where we operate SURS.	Project Monitoring
DRC2.8	Develop and establish a Provider prepayment review plan for Medicaid Providers who demonstrate a pattern of billing outside acceptable norms.	Y	A	3/19/2013	Attachment G2, Section 3.1.5.2	If not done internally then this will require subcontractor MARS to set up a pre-payment "Provider on Review" Unit.	Project Monitoring and UAT as described in Optum's TEMP.
DRC2.9	Provide data as well as witness testimony, if required, for any investigation, dispute resolution meeting, or hearing arising from data.	Y	A	3/19/2013	Attachment G2, Section 3.1.5.2	Optum will provide data as well as witness testimony, if required, for any investigation, dispute resolution meeting, or hearing arising from data.	Project Monitoring
DRC2.10	Aid management in ensuring that only medically necessary covered services and items, including prescribed drugs, are provided in the appropriate setting at the lowest cost.	Y	A	3/19/2013	Attachment G2, Section 3.1.5.2	Optum will aid management in making certain that only medically necessary covered services and items, including prescribed drugs, are provided in the appropriate setting at the lowest cost.	Project Monitoring
DRC2.15	Analyze and propose cost avoidance initiatives and regular self-review requests to Providers, including credit balance reviews for hospitals and other institutional Providers.	Y	A	3/19/2013	Attachment G2, Section 3.1.5.2	Optum will analyze and propose cost avoidance initiatives and regular self-review requests to providers, including credit balance reviews for hospitals and other institutional providers through the use of the FADS tool. The Optum team will strongly support all these State efforts. We specifically, provide credit balance recovery services for state Medicaid programs in Iowa, Massachusetts, and Michigan.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
DRC2.16	Provide a basis for the outliers identified utilizing data analysis tools to conduct medical reviews to verify that covered health care services have been documented and that payments have been made in accordance with State and federal policies, regulations, and statutes.	Y	A	3/19/2013	Attachment G2, Section 3.1.5.2	As also described in Section 3.1.6 Surveillance and Utilization Review Responsibilities, Optum will provide a basis for the outliers identified utilizing data analysis tools to conduct medical reviews to verify that covered health care services have been documented and that payments have been made in accordance with State and Federal policies, regulations, and statutes.	Project Monitoring and UAT as described in Optum's TEMP.
DRC2.17	Support the PI Unit by tracking overutilization and underutilization of health care services.	Y	A	3/19/2013	Attachment G2, Section 3.1.5.2	As also described in Section 3.1.6 Surveillance and Utilization Review Responsibilities, Optum will support the PI Unit by tracking overutilization and underutilization of health care services.	Project Monitoring
DRC2.20	Develop and maintain written procedures for all analytical activities, including review criteria for all Provider groups.	Y	A	3/19/2013	Attachment G2, Section 3.1.5.2	Optum will develop and maintain written procedures for all analytical activities, including review criteria for all provider groups. Optum FADS contains information documenting the logic behind all analytics. This is often used in research by investigator for ways to eliminate false positives by adjusting the criteria. We also maintain and provide audit manuals which outline the steps of the audit and include all approved State procedures and templates that will be used. This is shared with the State prior to initial audits and is revised later as needed based on input from contractors, Optum and the AME staff.	Project Monitoring and UAT as described in Optum's TEMP.
DRC2.21	Comply with the Department SURS staff to discuss analytical outcomes.	Y	A	3/19/2013	Attachment G2, Section 3.1.5.2	Optum will confer with the State SURS staff to discuss analytical outcomes. We perform this activity in all of the states where we provide SURS capability.	Project Monitoring
DRC2.26	Meet all the federal certification standards for operation of surveillance and utilization review functions.	Y	A	3/19/2013	Attachment G2, Section 3.1.5.2	As described in Section 3.1.6 Surveillance and Utilization Review Responsibilities, Optum will meet all the Federal certification standards for operation of surveillance and utilization review functions. The Optum FADS has been certified in Washington State and Washington, DC and meets the CMS Checklist for PI. The first "legacy" FADS was built for North Carolina Medicaid starting in 1999 through 2012. At the present time, Optum FADS is operating in Medicaid PI Units in Washington State (where Optum also provides detection assistance in addition to the FADS), Iowa (where Optum is the outsourced PI Unit and uses our FADS and other Optum tools), New Jersey, Missouri, Colorado, New Mexico, Montana, Wyoming, and the District of Columbia. Four more states are implementing FADS through their new MMIS contracts in California (where Optum staff are currently acting as the outsourced SURS Unit), Alaska, North Dakota, and New Hampshire. We implemented early, versions of FADS for PI Units as an MMIS subcontractor in Mississippi, Georgia, and Florida but those terminated due to MMIS contractor changes.	Project Monitoring and UAT and Certification Readiness Test (CRT) as described in Optum's TEMP and performance in certification process.
DRC2.31	Produce a quarterly identification of the medical services for which overutilization is most prevalent.	Y	A	3/19/2013	Attachment G2, Section 3.1.5.2	As described in Section 3.1.6 Surveillance and Utilization Review Responsibilities, Optum will produce a quarterly identification of the medical services for which overutilization is most prevalent. This can be easily accomplished using the SURS component which can list the services that are over utilized by provider or by member. We will also build standard reports for the FADS Report Library which produces these and revises them on a State preferred timetable (e.g. monthly, quarterly, semiannually, yearly by calendar year of fiscal year).	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
DRC2.32	Assist PIU as needed for appeal hearings for all SURS cases that result in an appeal by the Provider.	Y	A	3/19/2013	Attachment G2, Section 3.1.5.2	Optum will assist the PIU as needed for appeal hearings for all SURS cases that result in an appeal by the provider. We have provided these services in the other states where we operate. We do this first hand for Iowa where our staff are the PI Unit for the State. This gives us unprecedented experience in this area. We also support Washington State, New Jersey, Missouri, Colorado, New Mexico, Montana, Wyoming, and the District of Columbia. Optum staff are currently acting as the outsourced SURS Unit for California and supports the Medi-Cal PI staff in appeals or legal cases based on selection criteria.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
3.1.5.3	Key Performance Indicators - Review of Cases						
DRC3.1	Report findings from medical record reviews to the Department 3 State work days after the close of the month.	Y	A	3/19/2013	Attachment G2, Section 3.1.5.3	Optum will report findings from completed medical record reviews to the State three work days after the close of the month.	Project Monitoring
DRC3.2	In each Contract year, recover no less than 350% of the total State cost of SURS and Provider review activities including the following: 1. Measurable and quantifiable recoveries, which are actual recoupments made and money received 2. Avoided costs, which are those expenses eliminated or reduced as reducing future costs of the Medicaid program (such as identifying a AME Core System edit that will reduce costs of Medicaid claims) 3. Enhanced revenues that are additional recoveries that the SURS staff identified, including those funds that are included in pending appeal hearings at any point in time.	Y	A	3/19/2013	Attachment G2, Section 3.1.5.3	Optum will project and document the accurate ROI from our SURS module of our FADS component and audit activities. We conduct PI for Iowa Medicaid and provide a methodology for projecting ROI that has been reviewed by CMS as compliant. It is our understanding that the KPI: • Includes actual recoveries identified through the SURS and provider review activities for and recovered by the Arkansas PI Unit. • Includes cost avoidance computations • Requires recovery of 350% of the State Cost of the Contractor's SURS and provider review costs incurred through this contract.	Project Monitoring
DRC3.3	Annually review a random minimum sample of 1/2 percent (.5) percent of paid claims. The reviews will involve performing both in-house and field reviews. Review cases must include Providers who exceed calculated norms and a random sample of similar types of Providers who do not exceed norms.	Y	A	3/19/2013	Attachment G2, Section 3.1.5.3	Optum acknowledges and will comply with this requirement. Optum is providing resources to support this function.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
DRC3.4	Open a minimum of 60 cases for Provider reviews during each quarter according to the following criteria: 1. All cases referred from the Department must be opened in the quarter referred. 2. Review cases must include both Providers who exceed calculated norms, and a random sample of Providers who do not exceed norms. 3. The Contractor must describe in its Proposal the percentage of cases to be opened for Providers who exceed the norm and the percentage of cases for the random sample.	Y	A	3/19/2013	Attachment G2, Section 3.1.5.3	Optum will review all providers who exceed calculated norms and are suspect of aberrant billing behavior. We will make an initial probe investigation to determine if the norm has truly been exceeded for suspect reasons or whether there are conditions that make the aberrant calculation misleading. Examples may be for specialty hospitals, clinics or physicians who see a higher rate of members for care for a disease (such as treatment of cancer). We will also conduct random sampling of providers who do not exceed the norm. The norm is defined in the SURS statistical deviation factor and can be set at a level preferred by the State. In the Pharmacy area, we will be auditing all 840 enrolled providers per year (100%) as required and that will include those above and below the norm determined through SURS provider profiling results. It is difficult to provide a standard percent for cases above or below a norm as that varies based on the analysis and by type of service. So a percentage or physician services would be different from a percentage for a dentist or a Home Health agency or DME supplier. We will work with the PI Unit to establish service specific criteria as we work together. It should also be pointed out that SURS and fraud analytics are designed to identify the worst billing offenders; those with highest likelihood of receiving improper payments and most likely to increase recovery and cost avoidance savings for the PI Unit. Providers who are below the norms or do not get identified as significantly violating an algorithm can be handled in ways other than audits. For example, they may be under the norm because they see fewer Medicaid patients. Provider with low levels of algorithmic violations can also be targets for provider self-review audits or provider education. We will coordinate the process with the PI Unit as to their preferences.	Project Monitoring
DRC3.5	On average for all cases, complete reviews within 90 calendar days when all documentation required necessary to perform the review has been obtained.	Y	A	3/19/2013	Attachment G2, Section 3.1.5.3	When all documentation required to perform the review has been obtained, Optum will complete all reviews within 90 calendar days	Project Monitoring
DRC3.6	Proposals for cost avoidance measures submitted by SURS staff Members or other entities will be analyzed and addressed with a response for proposed action (including the option of closure) within 30 calendar days of the date the Proposal was submitted.	N/A	N/A	3/19/2013	Attachment G2, Section 3.1.5.3	Cost avoidance measures as we understand them are actions taken to fix a payment policy problem or correct MMIS front end pre-payment editing rules. Optum as a contractor has no authority or method to implement measures that would deny a claim since that ultimate action would require the State authorizing the MMIS to act on it. Optum will send cost avoidance suggestions to the PI Unit for them to initiate corrective action for MMIS payment problem issues, implement new front end coding, change or modify clinical policies, or other cost avoidance measures.	Project Monitoring
DRC3.7	Proposals for cost avoidance measures that have been approved for follow-up action to be implemented by the SURS unit will be addressed with the identified follow-up action within 45 calendar days of the date that the Proposal was approved by the State.	N/A	N/A	3/19/2013	Attachment G2, Section 3.1.5.3	We read this more as a State KPI to respond to Optum proposals since cost avoidance measures require State agency initiation to correct MMIS payment problem issues, implement new front end coding, change or modify clinical policies, or other cost avoidance measures.	Project Monitoring
3.1.6.1	Surveillance and Utilization Review Responsibilities - State						
T26SUR.1	Provide policy direction and make administrative decisions regarding SURS.	N/A	N/A		Attachment G2, Section 3.1.6.1	Optum acknowledges the State of Arkansas' role and responsibility for this requirement.	State responsibility
T26SUR.2	Determine the frequency, content, format, media, and number of copies (if hard copies are required) and distribution of reports.	N/A	N/A		Attachment G2, Section 3.1.6.1	Optum acknowledges the State of Arkansas' role and responsibility for this requirement.	State responsibility

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T26SUR.3	Review and approve the Contractor's procedures for conducting desk reviews.	N/A	N/A		Attachment G2, Section 3.1.6.1	Optum acknowledges the State of Arkansas' role and responsibility for this requirement.	State responsibility
3.1.6.2	Surveillance and Utilization Review Responsibilities - Contractor						
PISS2.13	Track SURS-complaints, track and review reports and follow up on suspected prior abend-users based on past experience.	N/A	N/A		Attachment G2, Section 3.1.6.2	Deleted in Questions and Answers, Replaced with PP2.4	N/A
PISS3.20	Provide SURS report as directed by State.	Y	A	3/19/2013	Attachment G2, Section 3.1.6.2	Optum will provide SURS reports as directed by State, as included in the standard FADS software. The FADS software has been certified twice by CMS (under the new PI checklist, in Washington and the District of Columbia) and approved in a regional office visit (Colorado) so the State can be assured that the standard FADS reports will meet all PI requirements. We have 1 FTE dedicated for SURS reporting as part of the implementation and operation phases of the project. The SURS report screenshots and examples are described in detail in Section 3.1.6.	Project Monitoring
PISS4.6	Provide end-user training based on a schedule to be defined by State on topics such as: system use, statistical parameter setting, interpretation of reports, algorithms used, new elements or analysis procedures, enhanced cost avoidance capabilities and other pertinent analytical techniques.	Y	A	3/19/2013	Attachment G2, Section 3.1.6.2	Optum will provide end-user training based on a schedule to be defined by State on topics such as: system use, statistical parameter setting, interpretation of reports, algorithms used, new elements or analysis procedures, enhanced cost avoidance capabilities and other pertinent analytical techniques. We provide this service to all States using our FADS/SURS. Please refer to Proposal Attachment G2, Section 2.6 Training Plan for details on Optum's comprehensive approach to end-to-end user training. We also have staff to provide on-going one-on-one training and mentoring for the State end users.	Project Monitoring
PISS4.8.1	Provide updated system and end-user SURS documentation.	Y	A	3/19/2013	Attachment G2, Section 3.1.6.2	Optum will provide updated system and end-user SURS documentation.	Project Monitoring
PISS4.17	Provide Provider reconciliation report of claim activity by end-user-defined time period to payment to see every claim reported and voided.	Y	A	3/19/2013	Attachment G2, Section 3.1.6.2	Optum will provide a Provider reconciliation report of claim activity by end-user-defined time period to payment to see every claim reported and voided. Optum will provide this report using the AME DSS data warehouse and the Cognos 10 BI software. The AME DSS data warehouse will contain the data elements to produce this report, such as claim status (paid, denied, voided) and payment information, such as pay-to provider and payment date information. Optum will work with the Department to develop this report in the required format.	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
CRSS3.21	Identify specific training needs and frequencies for SURS: Conduct training every month as directed by the State. Obtain State approval for the training sessions and trainers. Ensure that trainers are knowledgeable in the areas covered.	Y	A	3/19/2013	Attachment G2, Section 3.1.6.2	Optum will identify specific training needs and frequencies for SURS and conduct training as directed by the State. Optum also support staff telephonically. Optum will obtain State approval for the training sessions and trainers and ensure that trainers are knowledgeable in the areas covered. The proposed Optum on-site staff will also have knowledge of the SURS system to assist State users.	Project Monitoring
OPER1.97	Maintain and operate (an AME Core System that meets) the most recent Federal PI requirements.	Y	A	3/19/2013	Attachment G2, Section 3.1.6.2	Optum will maintain and operate a solution that meets the latest Federal PI requirements. Our FADS was approved by CMS under their new guidelines in Washington, the District of Columbia, and Colorado.	Project Monitoring and UAT and SIT as described in Optum's TEMP.
PIU1.4	Support pattern recognition and provide an automated fraud and abuse analytical profiling for the ongoing monitoring of Provider and Member claims to detect patterns of potential fraud, abuse and excessive billing.	Y	A	3/19/2013	Attachment G2, Section 3.1.6.2	Optum will support pattern recognition and provide an automated fraud and abuse analytical profiling for the ongoing monitoring of provider and member claims to detect patterns of potential fraud, abuse and excessive billing. The SURS report screenshots and examples are described in detail in Section 3.1.6.	Project Monitoring and UAT as described in Optum's TEMP.

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PIU1.5	Apply clinically approved guidelines against episodes along with State approved episode mode of care to identify instances of treatment inconsistent with guidelines.	Y	A	3/19/2013	Attachment G2, Section 3.1.6.2	Optum will apply clinically approved guidelines against episodes along with State approved episode mode of care to identify instances of treatment inconsistent with the guidelines. The AME DSS data warehouse creates and stores episodes of care that are available to the SURS to create episode-based SURS analysis and reporting.	Project Monitoring and UAT as described in Optum's TEMP.
PIU1.5.1	Operate and maintain the SURS area in compliance with State and Federal requirements including modifications and enhancements as they are implemented.	Y	A	3/19/2013	Attachment G2, Section 3.1.6.2	Optum will operate and maintain the SURS area in compliance with State and Federal requirements. The SURS report screenshots and examples are described in detail in Section 3.1.6. Our SURS has recently met CMS PI Checklist compliant requirements in Washington State, the District of Columbia, and Colorado.	Project Monitoring
PIU1.5.2	Assume complete responsibility for the maintenance, security, and operation of all computer programs and data files that are part of the SURS area.	Y	A	3/19/2013	Attachment G2, Section 3.1.6.2	Optum will assume complete responsibility for the maintenance, security, and operation of all computer programs and data files that are part of the SURS area. The solution is an integrated part of our overall AME DSS solution and is governed by the overall AME DSS system architecture and security model.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
PIU1.5.3	Maintain and operate the SURS area efficiently with responsive processing time and products.	Y	A	3/19/2013	Attachment G2, Section 3.1.6.2	Optum will maintain and operate the SURS area efficiently with responsive processing time and products. The SURS capability is part of the FADS component of the overall Optum AME DSS solution. SURS will be operated by Optum staff and the technical capabilities will meet SLAs required by the State.	Project Monitoring
PIU1.5.4	Provide at least annual training for State staff on these and other pertinent topics: system use, statistical parameter setting, interpretation of reports, algorithms used, new elements or analysis procedures, and other pertinent analytical techniques. Note: May be replaced by the SURS liaison requirements.	Y	A	3/19/2013	Attachment G2, Section 3.1.6.2	Optum will provide at least annual training for State staff on the following topics as well as other pertinent topics: system use, statistical parameter setting, interpretation of reports, algorithms used, new elements or analysis procedures, and other pertinent analytical techniques. We understand this may be replaced by the SURS liaison requirements. Optum can also coach users daily by telephone to support their work. The proposed Optum on-site staff will also have knowledge of the SURS system to assist the State users.	Project Monitoring
PIU1.5.5	Provide correct reports to State in format and media and on a schedule stipulated by State	Y	A	3/19/2013	Attachment G2, Section 3.1.6.2	Optum will provide correct reports to the State in a format and media, and on a schedule stipulated by the State. Many of FADS' base reports are already constructed in a format that meets the CMS PI requirements, and have passed CMS certification.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
PIU1.5.6	Provide updated system and end-user documentation.	Y	A	3/19/2013	Attachment G2, Section 3.1.6.2	Optum will provide updated system and end-user documentation. This is typically provided online via the FADS home page under support documentation which is available to all users. The information is updated as it is changed and/or modified to customer specifications. The documentation will be delivered to the State for approval during the Implementation phase of the project.	Project Monitoring
PIU1.5.7	Provide Systems Engineer (SE) expertise for advice to SURS end-users and to assist with training.	Y	A	3/19/2013	Attachment G2, Section 3.1.6.2	Optum will provide Systems Engineer (SE) expertise for advice to SURS end-users and to assist with training. We have 1 FTE dedicated for SURS reporting as part of the implementation and operation phases of the project. The proposed Optum on-site staff will also have knowledge of the SURS system to assist the State users.	Project Monitoring
PIU1.5.8	Ensure that procedure code updates and yearly CPT conversions are made to the medical criteria file.	Y	A	3/19/2013	Attachment G2, Section 3.1.6.2	Optum will make sure that all procedure code updates and yearly CPT conversions are available in the medical criteria file when that data is made available to us from the MMIS.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
PIU1.5.9	Provide enhanced cost avoidance capabilities and train State staff on their use.	Y	A	3/19/2013	Attachment G2, Section 3.1.6.2	Optum will provide enhanced cost avoidance capabilities and train State staff on their use. Optum has a great experience in this area. We provided free consulting to the Iowa Medicaid Enterprise in late 2010 and in 2011 which resulted in their seeking legislative action as well as taking internal administrative actions which to date have resulted in \$13.3 million in cost avoidance savings in the past two years. Some actions involved corrections to the MMIS while others changed what policy or what the State was including in a payment that was wasteful.	Project Monitoring
PIU1.5.10	Provide and maintain a SURS-specific automated recoupment notification system.	Y	A	3/19/2013	Attachment G2, Section 3.1.6.2	Optum will provide and maintain an automated recoupment notification system. Optum can generate a recoupment letter with the name of the provider, provider number, claim number, date of service, billed amount, paid amount, the reason for recoupment, and other information the State determines is necessary for inclusion in the automated letter. It is our understanding that the State will transmit all letters to providers as well as recover overpayments.	Project Monitoring, SIT and UAT as described in Optum's TEMP.
PIU1.5.11	Make recommendations for improvements to the SURS area.	Y	A	3/19/2013	Attachment G2, Section 3.1.6.2	Optum will make recommendations for improvements to the SURS area. Optum is currently the SURS Unit for the California Medi-Cal program working as a subcontractor to Xerox where we run the SURS, screen the results, and refer good suspect cases to Californian Audits and Investigations (PI) weekly. We are under strict requirements to deliver specific number of referrals every month. IN Iowa, where we are the PI Unit, we use our FADS and its SUR component to do the same work that Arkansas PI does in detecting suspects, investigating the providers, sending recovery letters, and handling all appeals. In that experience, as well as our work with the other current FADS states we support, we have established "Best Practices" which we will share with Arkansas PI. There are also about 10 year of best practices in our annual NAMPI user meeting document which become immediately available to Arkansas with the implementation of the SURS or earlier if preferred.	Project Monitoring
PIU1.5.12	Provide a CMS compliant methodology. The methodology will include both recovered and cost-avoided expenditures.	Y	A	3/19/2013	Attachment G2, Section 3.1.6.2	Optum will provide a CMS compliant methodology. The methodology will include both recovered and cost-avoided expenditures. As the PIU for Iowa Medicaid (IME), Optum has developed a CMS compliant methodology. Optum PI has saved (recovered and cost avoided) over \$50 million in the first two years of our service contract with them as the IME PI Unit. This methodology will be used as a baseline or starting point to develop a methodology for Arkansas.	Project Monitoring
PIU1.5.13	The Contractor will provide the methodology within forty-five (45) calendar days of the Contract Start Date.	Y	A	3/19/2013	Attachment G2, Section 3.1.6.2	Optum will provide the methodology within 45 calendar days of the Contract Start Date.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
PIU1.5.14	Provide modeling algorithms, scores, or any other techniques as a pre-payment analytical tool supporting proactive payment collections.	Y	A	3/19/2013	Attachment G2, Section 3.1.6.2	<p>Upon receipt of a pre-payment file from the MMIS, Optum will conduct pre-payment analysis. Optum will then provide scoring based on modeling and algorithms and deliver the results indicating those okay to pay, those we suggest suspending for investigation before paying, and those claims which can be automatically denied.</p> <p>In the early phase of pre-payment coding, AME staff will need to be closely involved in setting the pay and no-pay thresholds. Optum will make recommendations and work with the AME to agree on scoring thresholds. It is our understanding that the investigation of a "suspended" claim (except for pharmacy) is the State's responsibility to investigate.</p> <p>Optum provides pre-payment analytics and services for our commercial accounts and can provide pre-payment services to Arkansas. The process will require the MMIS Contractor to generate a file of processed claims awaiting payment and pass this to Optum. Overnight, Optum will identify and score the claims and return results to the MMIS contractor quickly so that claim processing times are not delayed. The Optum Pre-payment Review Solution (OPRS) is provided as a service in order to not interrupt the normal claims processing activities nor be directly tied to the technical nuances of the claims processing system, and provides the State an architecture that meets MITA principles.</p> <p>OPRS enables state Medicaid programs to identify and prevent inappropriate payments before they are made by reviewing post-adjudicated, pre-paid claims using analytics and review processes that provide additional savings beyond those that are possible using claims editing alone.</p>	Project Monitoring and UAT as described in Optum's TEMP.
PIU1.5.15	Provide predictive models that generate alerts and that triangulate results to identify high-risk claims and providers most likely to be engaged in fraudulent or wasteful behavior.	Y	A	3/19/2013	Attachment G2, Section 3.1.6.2	<p>Optum will provide predictive models that generate alerts and that triangulate results to identify high-risk claims and providers most likely to be engaged in fraudulent or wasteful behavior. These alerts will be based on behaviors detected post-pay.</p> <p>We utilize a suite of advanced analytics and models to identify claims for action on a pre-payment basis. These include the following powerful analytics that were built and refined by a team of leading health care and Medicaid modeling, analytical, clinical, and program experts:</p> <ul style="list-style-type: none"> • Advanced, state-of-the-art predictive models that consider a wide array of historical and emerging claims billing behaviors and provider characteristics that are indicative of fraud or inappropriate claims. • Social network analysis models that use post payment claims history as a factor in scoring for pre-payment risk by factoring the connections between and among providers, beneficiaries, and third party entities. We use advanced techniques that indicate when beneficiary lists are being used by multiple providers or billing entities to bill for services not rendered. • Exception analytics, based on sophisticated multivariate statistical or machine learning analyses, identify claims indicative of fraud or inappropriate billing. • "Soft" rules that identify claims that have a highly likelihood of being in error and a dramatic payoff when found to be in error. • Both traditional and non-traditional rules – in all major service areas – that identify claims that warrant immediate denial. 	Project Monitoring and UAT as described in Optum's TEMP.
3.1.6.3	Key Performance Indicators – Surveillance and Utilization Review						
PIU1.6	Set, monitor, and report on performance benchmarks that demonstrate sound progress in the detection of fraud and abuse and result in recoupment.	Y	A	3/19/2013	Attachment G2, Section 3.1.6.3	Optum will set, monitor, and report on performance benchmarks that demonstrate sound progress in the detection of fraud and abuse and result in recoupment.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
PIU1.7	Produce a written framework within ninety (90) calendar days of Contract Start Date for the State's participation in the CMS Medicare/Medicaid project to include written protocols for identifying Providers, claims, and overpayments.	Y	A	within 90 days of contract start date	Attachment G2, Section 3.1.6.3	Optum will produce a written framework within 90 calendar days of Contract Start Date for the State's participation in the CMS Medicare/Medicaid project to include written protocols for identifying providers, claims, and overpayments.	Project Monitoring
PIU1.8	Develop a methodology in accordance with CMS standards to calculate the State of Arkansas' Return on Investment (ROI) for the purpose of calculating Program Integrity efforts and to facilitate comparison of the State's fraud and abuse recovery efforts against those of other states.	Y	A	3/19/2013	Attachment G2, Section 3.1.6.3	Optum will develop a methodology in accordance with CMS standards to calculate the State of Arkansas' ROI for the purpose of calculating PI efforts and to facilitate comparison of the State's fraud and abuse recovery efforts against those of other states.	Project Monitoring
PIU1.16	Bring work into compliance within five (5) State working days of written notice of any work is not in compliance with the Contract and/or State specifications.	Y	A	N/A	Attachment G2, Section 3.1.6.3	Optum will bring work into compliance within five State working days upon receipt of written notice of any work that is not in compliance with the Contract and/or State specifications.	Project Monitoring
3.1.7.1	Fraud Detection Responsibilities - State				3.1.6.3		
T29FD.1	Provide policy direction and make administrative decisions regarding Fraud Detection	N/A	N/A		Attachment G2, Section 3.1.7.1	Optum acknowledges the State of Arkansas' role and responsibility for this requirement.	State responsibility
T29FD.2	Determine the frequency, content, format, media, and number of copies (if hard copies are required) and distribution of reports	N/A	N/A		Attachment G2, Section 3.1.7.1	Optum acknowledges the State of Arkansas' role and responsibility for this requirement.	State responsibility
T29FD.3	Review and approve the Contractor's procedures for conducting fraud detection	N/A	N/A		Attachment G2, Section 3.1.7.1	Optum acknowledges the State of Arkansas' role and responsibility for this requirement.	State responsibility
3.1.7.2	Fraud Detection Responsibilities - Contractor						
FDC1.3	Generate random sampling reports, including stratified random sampling with associated statistics using a State approved methodology and in accordance with State regulations.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	The Optum FADS sampling component will let users and Optum, easily and quickly, generate random sampling reports. The random sampling generator component of FADS uses the Wichman-Hill method to randomize the claim selection, and thus is CMS RatStats compliant. Stratified random sampling will be handled separately through the DSS using a State approved methodology and in accordance with State regulations.	Project Monitoring and UAT as described in Optum's TEMP.
FDC1.25	Produce reports of statistical norms, by peer group, for each indicator contained within each statistical profile by using averages and standard deviations or percentiles and exception limits based on business rules approved by State.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Using the SURS component of FADS, reports are created in the format as shown in the screenshots in Section 3.1.6 Surveillance and Utilization Review Responsibilities. Optum will produce reports of statistical norms, by peer group, for each indicator contained within each statistical profile by using averages and standard deviations or percentiles and exception limits based on business rules approved by State.	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
FDC1.27	Enterprise Surveillance and Utilization Review (ESUR) reports are the end result of a Study. The formats of the reports are not customizable, with the exception of the State Identification in the report headers. The text designated by the State for those functions will be system defaults and remain constant for all end-users. The end- user, of course, controls the contents of the reports as they create their Studies. The contents and functionality of the ESUR reports are dictated by federal requirements. The reports include: 1. Participant Ranking 2. Study Group Participants 3. Participant Profile 4. Claims Header Report 5. Study Profile 6. Report Item Exceptors by Time Period 7. Frequency Distribution Histogram 8. Behavior Pattern Totals 9. Report Item Exception Parameters 10. Study Parameters	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	ESURS is an older name for Optum SURS which is currently working in several Medicaid Programs where Optum is a subcontractor to the MMIS contractor. Therefore all of these requirements are met by Optum's SURS component and the named reports are the end result of an Optum SURS study. The formats of the reports are not customizable, with the exception of the State Identification in the report headers. The text designated by the State for those functions will be system defaults and remain constant for all end-users. The end- user, of course, controls the contents of the reports as they create their Studies. The contents and functionality of the SURS reports are dictated by Federal requirements. Optum SURS reports include: 1. Participant Ranking 2. Peer Group Participants 3. Participant Profile 4. Claims Header Report 5. Study Profile 6. Report Item Exceptors by Time Period 7. Frequency Distribution Histogram 8. Behavior Pattern Totals 9. Report Item Exception Parameters 10. Study Parameters	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
PIU2.1	Develop Medicaid policy-compliant algorithms used in conjunction with data mining software to identify aberrant claims, including those that clearly do not meet the requirements of the Arkansas Medicaid Program, by analyzing and scoring every claim during a five (5) year period. Compliance audits on pharmacies to include but not limited to Usual & Customary (U&C) billing and NDC miss-billing, and compliance on billing for cost for 340b pharmacies.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Optum will develop Medicaid policy-compliant algorithms to be used in conjunction with data mining software to identify aberrant claims, including those that clearly do not meet the requirements of the Arkansas Medicaid Program, by analyzing and scoring every claim during a five year period. Compliance audits on pharmacies will include but not be limited to U&C billing and NDC miss-billing, and compliance on billing for cost for 340b pharmacies. Optum provides this capability to other FADS customers. Arkansas specific algorithms will be developed as part of DDI and implemented with the FADS roll out.	Project Monitoring and UAT as described in Optum's TEMP.
PIU2.2	Develop algorithms that will select, rank, and score pharmacies for on-site audit selection.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	As described in Section 3.1.6 Surveillance and Utilization Review Responsibilities, Optum SURS will rank pharmacies versus their peers. In addition, Optum will develop additional analytics and algorithms that will rank, and score pharmacies for on-site audit selection based on patterns that appear aberrant.	Project Monitoring and UAT as described in Optum's TEMP.
PIU2.3	Develop algorithms based on clinical and business rules systems that will detect patterns, trends, anomalies, errors, and potential fraudulent activity during desk audits on community pharmacies, 340b pharmacies, specialty pharmacies, home-health IV pharmacies, or compounding pharmacies.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Optum will develop algorithms based on clinical and business rules systems that will detect patterns, trends, anomalies, errors, and potential fraudulent activity during desk audits on community pharmacies, 340b pharmacies, specialty pharmacies, home-health IV pharmacies, or compounding pharmacies. The Optum Pharmacy team has lengthy experience in these areas in their pharmacy auditing.	Project Monitoring and UAT as described in Optum's TEMP.

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PIU2.3.1	Use focus investigation audits when other audit methods, tips, etc., indicate it is necessary. These audits should correlate results of several distinct analyses, including pharmacy location surveillance, request of wholesaler purchase records, in-depth analysis of prescription records, and pharmacy stock analysis.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Optum will use focus investigation audits when other audit methods, tips, etc., indicate it is necessary. These audits will correlate results of several distinct analyses, including pharmacy location surveillance, request of wholesaler purchase records, in-depth analysis of prescription records, and pharmacy stock analysis.	Project Monitoring and UAT as described in Optum's TEMP.
PIU2.3.2	Pharmacy claims identified as potentially overpaid will be flagged for further analysis and manual review by auditor.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Optum will identify pharmacy claims potentially overpaid and flag them for further analysis and manual review by auditors. As part of our proposal we have provided staff who will leverage the FADS platform for pharmacy audits.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
PIU2.4	Use predictive modeling techniques as well as computer algorithms to help identify individual Providers as well as all enrolled pharmacies for review.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Optum will use predictive modeling techniques as well as computer algorithms to help identify individual providers as well as all enrolled pharmacies for review. We can deliver pre-payment predictive analytics in two separate ways. The "detection-only" method (as requested in this RFP) or "detection-and-review" method. In this response we are providing the OPRS on a detection-only basis. In this configuration, Optum examines each daily or intra-day claims stream and returns allow, pend, or deny recommendations within a mutually agreed-upon intra-day time window. Claims recommended for pend are then examined by the State, through pre-payment claims reviews or medical record requests or post payment audits. Optum will work closely with the State integrity leadership and staff to train State staff in the interpretation of OPRS reason codes and provide guidance for claims and record reviews. In the detection-and-review option, the Optum Team also performs the review by requesting medical records on suspended claims. We can store these records in the case tracking system, perform the medical record review, and make the final determination. If the State is interested in considering the detection-and-review option instead of detection-only, as offered this proposal, Optum and the State can explore that option during contract negotiations.	Project Monitoring and UAT as described in Optum's TEMP.
PIU2.5	Develop algorithms to routinely check for waste/abuse/fraud in home health/IV, compounding pharmacies and specialty pharmacies.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Optum will develop algorithms to routinely check for fraud, waste, and abuse in home health/IV, compounding pharmacies and specialty pharmacies.	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
PIU2.6	Develop algorithms to identify potential "doctor shoppers" (i.e., individuals seeking narcotics and other abuse-able drugs who use multiple doctors and pharmacies in order to escape detection).	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	As described in Section 3.1.6 Surveillance and Utilization Review Responsibilities, Optum's SURS has developed algorithms to identify potential "doctor shoppers" (i.e., individuals seeking narcotics and other abuse-able drugs who use multiple doctors and pharmacies in order to escape detection).	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
PIU2.7	Develop algorithms to identify parent(s) using child's ID to fill prescriptions for persons other than the child. This may include verifying through the physician's office the intended recipient for the prescription in cases where the child and parent have the same name.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Optum will develop and deliver algorithms to identify parent(s) using child's ID to fill prescriptions for persons other than the child. This may include verifying through the physician's office the intended recipient for the prescription in cases where the child and parent have the same name.	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)

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PIU2.8	Provide Medicaid pre-and post-utilization review services for the identification of Medicaid payments determined to be erroneous, abusive or otherwise inconsistent with Division policy.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Optum will provide Medicaid pre-and post-utilization review services for the identification of Medicaid payments determined to be erroneous, abusive or otherwise inconsistent with Division policy. Since all claims in the data warehouse are post-payment, we understand this requirement will occur when a provider has been placed on pre-pay "provider on review" by the State and is required to submit both claims and documentation to a review unit that will approve or deny their billings.	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
PIU2.9	Provide professional services in an appropriate and cost effective manner to help detect and identify payments made to a Medicaid Provider or on behalf of a recipient in violation of Division policy, state regulation, or federal law.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Optum will provide professional services in an appropriate and cost effective manner to help detect and identify payments made to a Medicaid provider or on behalf of a recipient in violation of Division policy, state regulation, or Federal law.	Project Monitoring
PIU2.10	Provide the capability to profile Provider groups and individual Providers within group practices.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	As described in Section 3.1.6 Surveillance and Utilization Review Responsibilities, the Optum FADS will provide the capability to profile provider groups and individual providers within group practices if the information about an individual provider's group membership is made available to Optum from the MMIS.	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
PIU2.11	Develop Provider, physician, and patient profiles sufficient to provide specific information as to the use of covered TOSs and items, including prescribed drugs.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Optum will develop provider, physician, and patient profiles sufficient to provide specific information as to the use of covered Types of Services (TOS), and items, including prescribed drugs.	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
PIU2.12	Profile primary care case managers, including all referrals and other services received by their enrollees.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Optum will profile PCCMs, including all referrals and other services received by their enrollees, using the information about the PCCMs necessary to create the profiles contained on the claims from the MMIS.	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
PIU2.13	Automatically identify exceptions to norms of utilization or quality of care standards established by the agency for any type of Provider and any type of Member covered by the State plan.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Optum will automatically identify exceptions to norms of utilization or quality of care standards established by the agency for any type of provider and any type of member covered by the State plan.	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
PIU2.14	Provide the capability to develop queries based on clinical guidelines.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Optum will provide the capability to develop queries based on clinical guidelines. We will utilize our Symmetry EBMConnect capability to provide evidence-based best practices. Symmetry EBMConnect also allows for State specific guidelines to be developed.	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
PIU2.15	Provide the capability to determine outliers within different selected criteria.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Optum will provide the capability to determine outliers within different selected criteria. At the present time, Optum is successfully providing this functionality to Medicaid PI Units in Washington State (where Optum also provides detection assistance in addition to our FADS), Iowa (where Optum is the outsourced PI Unit and uses our FADS and other Optum tools), New Jersey, Missouri, Colorado, New Mexico, Montana, Wyoming, and the District of Columbia.	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
PIU2.16	Provide capability to aggregate information for diagnosis, patients, age groups, etc.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Optum will provide capability to aggregate information for diagnosis, patients, age groups, etc. At the present time, Optum is successfully providing this functionality to Medicaid PI Units in Washington State (where Optum also provides detection assistance in addition to our FADS), Iowa (where Optum is the outsourced PI Unit and uses our FADS and other Optum tools), New Jersey, Missouri, Colorado, New Mexico, Montana, Wyoming, and the District of Columbia.	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
PIU 2.17	Track federally assisted program participants separately from other categories of assistance.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Optum will track federally assisted program participants separately from other categories of assistance. Optum will extract the Category of Service data as it is stored in the MMIS and load it in the AME DSS data warehouse. Optum anticipates that the MMIS Category of Service information passed to the AME DSS will differentiate the federally assisted program participants from other categories of assistance.	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)

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PIU2.18	Identify Members who exceed program norms, ranked in order of severity.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Optum will identify members who exceed program norms, ranked in order of severity. Some examples from other states include high utilizers of ED visits, high pharmacy usage by dollar and fill rate, etc.	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
PIU2.19	Identify services received by Members who are enrolled in selected programs.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	The proposed AME DSS data warehouse will contain the information regarding services and Members program enrollment information. The Cognos 10 BI software can be used to easily create reports of the information in the AME DSS data warehouse to identify services received by members of selected programs.	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
PIU2.20	Identify services received by Members who have specified diagnoses.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	The ad-hoc components can be used to easily create reports of the information in the AME DSS data warehouse to identify services received by members who have specified diagnoses.	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
PIU2.21	Link all services to a single Member regardless of the number of historical changes in Member ID.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Optum will link all services to a single member regardless of the number of historical changes in Member ID, provided that the MMIS (Member Eligibility) has maintained this information and it is made available to Optum during the weekly data refreshes. The MMIS should contain a system which links any change in a member's Medicaid ID from the new one to the older one(s). In this way, MMIS audits that look for things like once in lifetime services can locate the prior payment regardless of whether it was under a different (older) MID. If this is not a current functionality of the CORE MMIS, it should be since it prevents waste and improper payments and facilitates fraud. This process could be built into a DSS if the Medicaid eligibility information can be matched to specific people with multiple MIDS. But the State is better served having the MMIS maintain this for cost avoidance rather than using the DSS to clean up misspent payment which may or may not be collectible after the fact.	UAT and SIT as described in Optum's Test and Evaluation Management Plan (TEMP)
PIU2.22	Profile all services provided to a Member during a single episode of care.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Optum will profile all services provided to a member during a single episode of care. At the present time, Optum is successfully providing this functionality to Medicaid PI Units in Washington State (where Optum also provides detection assistance in addition to our FADS), Iowa (where Optum is the outsourced PI Unit and uses our FADS and other Optum tools), New Jersey, Missouri, Colorado, New Mexico, Montana, Wyoming, and the District of Columbia. Episodes of care will be maintained in the DSS and that will be the source for the FADS data to identify episodes of care for fraud analytics. Our SURS and FADS has met the CMS Checklist requirements in Washington State, the District of Columbia, and Colorado and it will accomplish the CMS Checklist requirement for the AME.	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
PIU2.23	Provide capabilities to identify Members and related Providers receiving services from other states. (CMS Initiative)	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	This functionality will be dependent on whether the State has access to these other state files.	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
PIU2.25	Provide the ability to update information real-time with standards applied to each data element.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Optum will provide the ability to update parameters and processing criteria real-time with standards applied to each data element. The data, however, will not be able to be updated by the user. The DSS data warehouse and FADS data mart are intended to be maintained as 'inquiry only' storehouses of data as it was processed in the MMIS, and updated only in a batch mode periodically when a new set of paid claims are available (usually weekly).	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
PIU2.26	Maintain a process to apply weighting and ranking of exception report items to facilitate identifying the highest deviators.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Optum will maintain a process within its SURS component to apply weighting and ranking of exception report items to facilitate identifying the highest deviators.	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)

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PIU2.27	Provide and maintain a SURS-specific automated recoupment notification system.	N/A	N/A	3/19/2013	Attachment G2, Section 3.1.6.2	This item deleted from reconstituted RFP, Attachment G2. Duplicate with PIU1.5.10. Optum will provide and maintain an automated recoupment notification system. Optum can generate a recoupment letter with the name of the provider, provider number, claim number, date of service, billed amount, paid amount, the reason for recoupment, and other information the State determines is necessary for inclusion in the automated letter. It is our understanding that the State will transmit all letters to providers as well as recover overpayments.	Project Monitoring, SIT and UAT as described in Optum's TEMP.
PIU2.28	Allow comparisons in utilization review between institutional and community care and aberrations outside the median service delivery.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	As described in Section 3.1.6 Surveillance and Utilization Review Responsibilities, Optum will allow comparisons in utilization review between institutional and community care and aberrations outside the median service delivery.	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
PIU2.29	Provide capabilities to track and investigate complaints received. Also track suspected prior abusers based on past experience.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	As described in Section 3.1.5 Review of Cases, Optum will provide capabilities within its Case Tracking component to track and investigate complaints received. It can also track suspected prior abusers based on past experience.	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
PIU2.30	Report the identification of any person or agency alleged to have committed waste and abuse to the Division. Information shall include, but not be limited to: 1. Recipient Medicaid identification number; 2. All active Provider numbers in which an identified Provider is billing Medicaid. It is the Vendor's responsibility to verify the Provider is actively billing Medicaid; 3. The name, address and telephone number with a narrative of the suspected inappropriate billing; 4. All associated claims data and files.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Optum will report the identification of any person or agency alleged to have committed waste and abuse to the Division. Information will include, but not be limited to: 1. Recipient Medicaid identification number 2. All active provider numbers in which an identified provider is billing Medicaid; we will verify the provider is actively billing Medicaid 3. The name, address and telephone number with a narrative of the suspected inappropriate billing 4. All associated claims data and files	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
PIU2.31	Support waste, abuse and fraud investigations.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Optum will support fraud, waste, and abuse investigations. We have provided ongoing FADS consulting resources and also assigned one business analyst FTE to the Optum AME DSS team that will fully support PIU in addition to there business analysts as part of the AME DSS operations team. We are also prepared to support the appeals process.	Project Monitoring
PIU2.33	Provide capabilities to identify Random Sample and the ability to extrapolate the results.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Optum FADS provides the capability to random sample and thus the ability to extrapolate the results. The Optum FADS sampling component will let users and Optum, easily and quickly, generate random sampling reports. The random sampling generator component of FADS uses the Wichman-Hill method to randomize the claim selection, and thus is CMS RatStats compliant. Stratified random sampling will be handled separately through the DSS using a State approved methodology and in accordance with State regulations. Optum has implemented Stratified random sampling using the DSS for our Washington customer.	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
PIU2.34	Participate in monthly meetings to discuss alleged overpayments.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Optum will participate in monthly meetings to discuss alleged overpayments. Based on the need, this may occur in person or by telephone. We perform this activity in many of the 15 state where we provide FADS capabilities.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
PIU2.34.1	After an existing deficiency has been determined, the Vendor shall develop all relevant criteria needed to implement systematic editing in the MMIS and/or the fiscal agent's software, as warranted, to identify and address future occurrences of the same type of overpayments to Providers.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	After an existing deficiency has been determined, Optum will develop all relevant criteria needed to implement systematic editing in the MMIS and/or the fiscal agent's software, as warranted, to identify and address future occurrences of the same type of overpayments to providers.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
PIU2.35	Assist with fraud and abuse investigations as directed.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Optum will assist with fraud and abuse investigations as directed. The Case Tracking System can be made available for the MFCU staff to access the case files, SUR reports, evidence gathered, and ability to store their own evidence. The Optum FADS will provide an excellent way to transfer and make confidential information safely available to the MFCU. We have 1FTE assigned to the Optum AME DSS team that will fully support PIU and other business analysts as part of the AME DSS operations team. We are also prepared to support the appeals process.	Project Monitoring
PIU2.36	Review the Arkansas State Plan, federal/state regulations, and policy to ensure the appropriateness and accuracy of SURS practices.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Optum will review the Arkansas State Plan, Federal and state regulations, and policy to provide the appropriateness and accuracy of SURS practices.	Project Monitoring
PIU2.37	Ensure that procedure code updates and yearly CPT conversions are made to the medical criteria file.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Optum will make sure that the procedure code updates and yearly CPT conversions are made to the medical criteria file when that data is made available to us from the MMIS.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
PIU2.38	Include an indexing feature for an electronic document management system to access RAs by financial paid date.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	As indicated in the State's response to a question regarding this requirement, the AME DSS will store in the AME DSS data warehouse a numeric indicator on the claim record that points a fraud analyst to the Remittance Advice (RA) on the Core System when needed.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
PIU2.39	Schedule dispute resolution meetings and assist Program Integrity Staff with meetings.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Support function for any determinations made by Optum reviewers or subcontractors	Project Monitoring
PIU2.40	Develop and establish a Provider prepayment review plan for Medicaid Providers who demonstrate a pattern of billing outside acceptable norms.	Y	A	At time of contract start	Attachment G2, Section 3.1.7.2	Will have to have a team capable of pre-review screening of a provider's medical records and bill to decide whether to approve or deny billing.	Project Monitoring and UAT as described in Optum's TEMP.
PIU2.41	Provide data as well as witness testimony, if required, for any investigation, dispute resolution meeting, or hearing arising from data concerning a Medicaid Provider identified by the Vendor Software. All referrals must be submitted to the Division. The Vendor is not to contact any other agency unless approved by the Division.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Optum will provide data as well as witness testimony, if required, for any investigation, dispute resolution meeting, or hearing arising from data concerning a Medicaid provider identified by the Optum software and systems. All referrals must be submitted to the Division. Optum will not contact any other agency unless approved by the Division.	Project Monitoring
PIU2.42	Provide capabilities to track all collections of claims for all liable or responsible recipients, Providers, their agents and other persons to recover improper Medicaid payments or reimbursements, including interest and applicable penalties.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Optum will provide the Case Tracking System component of FADS to track PI cases. PI will use the Case Tracking System component to document and account for all collections of claims for all liable or responsible members, providers, their agents and other persons to recover improper Medicaid payments or reimbursements, including interest and applicable penalties.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)

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PIU2.43	Centralize all information on Members, Providers, and claims in one location to ensure appropriate control and to facilitate access by MMIS and other systems.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Optum will centralize all information on Members, Providers, and claims in one data warehouse location to ensure appropriate control and to facilitate access by authorized MMIS users and authorized users from other systems.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
PIU2.44	Provide capabilities to data mine by episodes of care.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Optum will provide capabilities to data mine by episodes of care. The AME DSS data warehouse creates and stores episodes of care (ETGs) that are available to the SURS to create episode based SURS analysis and reporting. The DSS is also a source of data mining using episodes of care. The DSS can be used to create ad hoc queries and perform advanced analytics linking episodes of care to any other variable in the warehouse.	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
PIU2.45	Emphasize prepayment analysis and enhance post-payment analysis to identify patterns of potential waste, abuse and fraud.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Since no pre-pay information available in DW, suggestions for pre pay edits can be given to MMIS contractor. FADS will deliver post pay enhancements to detect overpayments.	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
PIU2.46	Enhance ability to detect high cost users of Medicaid services.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	One of the FADS components is "High Cost Members." This integrated component will identify those members who have high costs that are seemingly unjustified by routine or minor diagnoses. Section 3.1.4, Provider Profiling provides additional details on this component. We will also have the ability to filter out "High Cost Members" who are justifiably high cost.	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
PIU2.47	Provide ability to produce reports to track and analyze trends in Provider practice patterns and to monitor primary care case management (PCCM).	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Optum will provide the ability to produce reports to track and analyze trends in provider practice patterns and to monitor PCCM provided that the PCCM information is made available in the claims data to Optum from the MMIS. Optum has experience doing this in other state implementations.	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
PIU2.48	Provide users with electronic access to information in pre-defined report formats and user-definable custom reports. Users will be able to download reports in formats that allow importing into other PC applications.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Optum will provide users with electronic access to information in pre-defined report formats and user-definable custom reports. Users will be able to export reports in .xls, .pdf, .xml, .html, and .csv formats that allow importing into other standard PC applications.	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
PIU2.49	Develop a comprehensive statistical profile of health care delivery and utilization patterns established by Provider and Member participants in various costs of service authorized under the Medicaid program.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	FADS' Peer Grouping (aka SURS) component will develop a comprehensive statistical profile of health care delivery and utilization patterns established by provider and member participants in various costs of service authorized under the Medicaid program.	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
PIU2.50	Display all data by National Provider Identifier (NPI) or by a subset of the Provider's practice.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Optum will display all data by NPI or by some other identifier that indicates a subset of the provider's practice. This information should be resident in the CORE MMIS since it has been a CMS requirement as is needed to process claims. The DSS will store this information where our FADS system will incorporate it into our tables for use in SURS and analytics.	UAT and SIT as described in Optum's Test and Evaluation Management Plan (TEMP)
PIU2.51	Provide information that reveals and facilitates investigation of potential defects in the level of care and quality of service provided under the Medicaid program.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Optum will provide information that reveals and facilitates investigation of potential defects in the level of care and quality of service provided under the Medicaid program. While most PI Units are interested in recoveries, the detection of fraud and abuse, and cost avoidance savings, there is a need within the AME for evaluation of the problem of defects in the level of care and the quality of services. This effort can be supported by the FADS and episodes of care. The SURS can identify underutilization while our analytics can be used to look for patterns of poor care provided. Poor quality of service can be identified through increased re-hospitalizations or the need for emergency or IP care during an episode of treatment that should have prevented the need for more expensive care. The SURS team will work with AME staff to establish the criteria and reports which will serve whichever unit has this mission.	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
PIU2.52	Provide the capability to develop Provider, physician, and patient profiles sufficient to provide specific information as to the use of covered types of service and items, including prescribed drugs, and alert to possible misuse of Medicaid.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Optum will provide the capability to develop provider, physician, and patient profiles sufficient to provide specific information as to the use of covered types of service and items, including prescribed drugs, and alert to possible misuse of Medicaid. This is accomplished through our SURS component and analytics which detects the problem issues and the FADS which generates the provider, physician or patient profiles. At the present time, Optum is successfully providing this functionality to Medicaid PI Units in Washington State (where Optum also provides detection assistance in addition to our FADS), Iowa (where Optum is the outsourced PI Unit and uses our FADS and other Optum tools), New Jersey, Missouri, Colorado, New Mexico, Montana, Wyoming, and the District of Columbia.	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
PIU2.53	Utilize a minimum level of manual clerical effort in providing information that reveals potential defects in level of care and quality of service.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Optum will implement software that will enable the state to utilize a minimum level of manual clerical effort to reveal potential defects in level of care and quality of service. At the present time, Optum is successfully providing this functionality to Medicaid PI Units in Washington State (where Optum also provides detection assistance in addition to our FADS), Iowa (where Optum is the outsourced PI Unit and uses our FADS and other Optum tools), New Jersey, Missouri, Colorado, New Mexico, Montana, Wyoming, and the District of Columbia.	Project Monitoring and UAT as described in Optum's TEMP.
PIU2.54	Select claims and encounter data dating back to whatever time period is appropriate for the specific research being performed.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Optum will select claims and encounter data dating back to whatever time period is appropriate for the specific research being performed.	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
PIU2.55	Ensure the system has the capability to suppress processing on an individual within specified categories on a run-to-run basis.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Optum will ensure our systems have the capability to suppress processing on an individual within specified categories on a run-to-run basis. At the present time, Optum is successfully providing this functionality to Medicaid PI Units in Washington State (where Optum also provides detection assistance in addition to our FADS), Iowa (where Optum is the outsourced PI Unit and uses our FADS and other Optum tools), New Jersey, Missouri, Colorado, New Mexico, Montana, Wyoming, and the District of Columbia.	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
PIU2.56	Investigates and reveals misutilization of the state's Medicaid program services by individual participants and promotes corrective action.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.2	Optum will investigate and reveal misutilization of the State's Medicaid program services by individual participants and promotes corrective action. At the present time, Optum is successfully providing this functionality to Medicaid PI Units in Washington State (where Optum also provides detection assistance in addition to our FADS), Iowa (where Optum is the outsourced PI Unit and uses our FADS and other Optum tools), New Jersey, Missouri, Colorado, New Mexico, Montana, Wyoming, and the District of Columbia.	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
3.1.7.3	Key Performance Indicators – Fraud Detection						
T31FD.1	Develop algorithms to capture and analyze claim information to detect fraud and abuse within timeframes established by the State.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.3	Once the FADS is implemented, Optum will have and develop additional algorithms to detect fraud and abuse	UAT as described in Optum's Test and Evaluation Management Plan (TEMP)
T31FD.2	Produce routine and ad hoc reports on schedules determined by the State.	Y	A	3/19/2013	Attachment G2, Section 3.1.7.3	Once the FADS is implemented, Optum will produce reports on a timely schedule defined by the state	Project Monitoring
3.1.8.1	Management and Administration Reporting Responsibilities - State						
T32MARS.1	Provide policy direction and make administrative decisions regarding Management and Administration Reporting	N/A	N/A		Attachment G2, Section 3.1.8.1	Optum acknowledges the State of Arkansas' role and responsibility for this requirement.	
T32MARS.2	Determine the frequency, content, format, media, and number of copies (if hard copies are required) and distribution of reports	N/A	N/A		Attachment G2, Section 3.1.8.1	Optum acknowledges the State of Arkansas' role and responsibility for this requirement.	

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
T32MARS.3	Review and approve the Contractor's procedures for conducting Management and Administration Reporting	N/A	N/A		Attachment G2, Section 3.1.8.1	Optum acknowledges the State of Arkansas' role and responsibility for this requirement.	
3.1.8.2	Management and Administration Reporting Responsibilities - Contractor						
MARS1.2	Produce and submit MAR reports according to a schedule determined by the State in the format and media requested by the State.	Y	A	3/19/2013	Attachment G2, Section 3.1.8.2	The IMARS staff will meet with the appropriate state personnel to clearly define requirements, review current MARS reports and data feeds, and show the state how IMARS functionality and reports meet the state requirements. This information will be compiled into the Requirements Analysis Document.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
MARS1.5	Include all financial transactions and all claims-related adjustments into MARS reporting based on State defined criteria.	Y	A	3/19/2013	Attachment G2, Section 3.1.8.2	IMARS loads all data available from the source system as needed to support designated IMARS State and Federal reporting.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
MARS1.7	Produce and submit the Federal 2082 report in format and media required by the State and CMS.	Y	A	3/19/2013	Attachment G2, Section 3.1.8.2	IMARS creates the currently CMS required MSIS files and reports.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
MARS1.10	Produce special request reports for the State in format, media, and timeframe determined by the State.	Y	A	3/19/2013	Attachment G2, Section 3.1.8.2	Special report requests will be met by the DW/DSS.	Systems Integration Test (SIT) and UAT as required by the project. These are described in Optum's Test and Evaluation Management Plan (TEMP)
MARS1.11	Train State end-users on the MAR capabilities, parameter options, and outputs to promote effective use of the MAR.	Y	A	3/19/2013	Attachment G2, Section 3.1.8.2	IMARS report creation and scheduling training will be provided by the IMARS staff.	System Integration source to target testing
MARS1.13	Operate and maintain the MAR in compliance with the State and Federal requirements including modifications and enhancements as they are mandated.	Y	A	3/19/2013	Attachment G2, Section 3.1.8.2	The IMARS staff will meet with the appropriate state personnel to clearly define requirements, review current MARS reports and data feeds, and show the state how IMARS functionality and reports meet the state requirements. This information will be compiled into the Requirements Analysis Document.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
MARS1.14	Validate financial reports data to ensure data integrity.	Y	A	3/19/2013	Attachment G2, Section 3.1.8.2	When the source data is loaded into the IMARS data mart, all data tables are automatically balanced by row counts and claim paid amounts where applicable.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
MARS1.16	Correct, rerun, verify, and distribute MAR reports according to State-specified requirements that are consistent with Contract standards, for any period in which a problem occurred.	Y	A	3/19/2013	Attachment G2, Section 3.1.8.2	The IMARS staff will meet with the appropriate state personnel to clearly define requirements, review current MARS reports and data feeds, and show the state how IMARS functionality and reports meet the state requirements. This information will be compiled into the Requirements Analysis Document. These report specifications will be followed through the development, testing and implementation of the IMARS reports.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
MARS1.28	Ensure required retroactive and current changes to financial tables are applied.	Y	A	3/19/2013	Attachment G2, Section 3.1.8.2	When the source data is loaded into the IMARS data mart, all data tables are automatically balanced by row counts and claim paid amounts where applicable.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
3.1.8.3	Key Performance Indicators – Management and Administration Reporting						
MARS1.26	Produce Federal reports at required frequencies and in the format specified required by the State.	Y	A	3/19/2013	Attachment G2, Section 3.1.8.3	The IMARS staff will meet with the appropriate state personnel to clearly define requirements, review current MARS reports and data feeds, and show the state how IMARS functionality and reports meet the state requirements. This information will be compiled into the Requirements Analysis Document.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
MARS1.33	Send financial data to the State per business rules.	Y	A	3/19/2013	Attachment G2, Section 3.1.8.3	Financial transactions are included in the IMARS reports as defined by the business rules for each report.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
3.1.9.1	Federal Reporting Responsibilities - State						
T35FR.1	Establish direction for the timely and accurate completion of required Federal Reporting	N/A	N/A		Attachment G2, Section 3.1.9.1	Optum acknowledges the State of Arkansas' role and responsibility for this requirement.	State responsibility
T35FR.2	Review contractor policies regarding Federal Reporting processes	N/A	N/A		Attachment G2, Section 3.1.9.1	Optum acknowledges the State of Arkansas' role and responsibility for this requirement.	State responsibility
T35FR.3	Assure all Federal Reports are complete, accurate, and timely	N/A	N/A		Attachment G2, Section 3.1.9.1	Optum acknowledges the State of Arkansas' role and responsibility for this requirement.	State responsibility
3.1.9.2	Federal Reporting Responsibilities - Contractor						
FRSS4.2	Provide State-approved training on reporting tool, which includes business process solutions.	Y	A	3/19/2013	Attachment G2, Section 3.1.9.2	IMARS report creation and scheduling training will be provided by the IMARS staff.	
FRSS4.8	Generate reports according to State-specified schedule or on-demand on: 1. Claims statistics 2. Members' enrollment and utilization 3. Provider payments by type of service 4. Date of payment and date of service 5. Financial data (adjustments, recoveries, cost settlements, payouts, 6. Recoupment (overpayments, claim holds, and other financial categories)	Y	A	3/19/2013	Attachment G2, Section 3.1.8.3	IMARS consists of core reports within six separate reporting modules: Administrative reporting, Operations reporting, Member reporting, Provider reporting, Drug reporting and Federal reporting. The scheduling of these reports is reviewed and determined with state staff during the design phase of the implementation. In addition, the DSS/DW can meet ad hoc reporting requests.	Systems Integration Test (SIT) as described in Optum's Test and Evaluation Management Plan (TEMP)
FRSS4.14	Maintain information on actions taken to resolve errors on claims and financial transactions, the frequency of resolution methodologies, and the identity of the person responsible for the resolution.	Y	A	3/19/2013	Attachment G2, Section 3.1.9.2	The MMIS will store error resolution history, including exception code and claims examiner data to identify the person responsible for the resolution. Optum will work with the State to identify the error information to be extracted from the MMIS to be stored and reported in the AME DSS. The Optum AME DSS TNF data model provides capability to store any such data.	Project monitoring and SIT as described in the Test and Evaluation Management Plan
FRSS4.16	Meet all requirements and specifications identified by CMS and the Department for federally mandated report content, storage, maintenance, and file transfers.	Y	A	3/19/2013	Attachment G2, Section 3.1.8.3	OptumInsight will implement our contemporary and MITA-aligned MAR subsystem – IMARS. This subsystem will include the timely production of CMS reports and MSIS data feeds and reports on the required schedule. The IMARS component is a fully web-based financial reporting solution and was certified under the 2007 Federal Reporting and Program Management CMS Checklists in October of 2011 in the District of Washington.	Project monitoring and SIT as described in the Test and Evaluation Management Plan
3.1.9.3	Key Performance Indicators – Federal Reporting						

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
FRSS4.9	Produce all management reports: 1. Within the timeframes defined by the Department 2. According to State-defined format, input parameters, and content 3. According to State-defined frequency, media and number of copies requested	Y	A	3/19/2013	Attachment G2, Section 3.1.9.3	The IMARS reports specifications are define the following aspects of the individual reports per the Detail System Design documentation: Format and structure, Schedule, Retention period, Selection criteria.	Project monitoring and SIT as described in the Test and Evaluation Management Plan
FRSS4.15	Ensure that all reports are: 1. Produced and distributed in a format, media, and schedule as agreed 2. Utilizing uniform heading titles, including creation date 3. Presented in a consistent manner	Y	A	3/19/2013	Attachment G2, Section 3.1.9.3	The IMARS staff will meet with the appropriate state personnel to clearly define requirements, review current MARS reports and data feeds, and show the state how IMARS functionality and reports meet the state requirements. This information will be compiled into the Requirements Analysis Document.	Project monitoring and SIT as described in the Test and Evaluation Management Plan
3.2	Services Staffing Skill Set Requirements						
Pharmacist	• Licensed Pharmacist, State of Arkansas License	Y	A	3/19/2013	Attachment G2, Section 3.2	Our proposed Licensed Pharmacist Ms. Summer Moody, Pharm.D., J.D. has more than 10 years of experience, is licensed in Arkansas, and lives in Little Rock. She also has a Juris Doctor degree to complement the Pharmacy degree and support legal and administrative action taken from Pharmacy audits. Optum will await State approval before finalizing this position.	Project Monitoring
Pharmacy Technician	• Three years of experience • Analytical accounting skills	Y	A	3/19/2013	Attachment G2, Section 3.2	All Pharmacy Technicians provided for this project will have a minimum of three years of experience as a pharmacy technician and have analytic and accounting skills. Optum and our subcontractors are experienced in hiring or assigning technicians that meet the minimum requirements and are a good fit for the work. Optum will submit names and credentials of Pharmacy Technicians to the State for approval before an individual is assigned.	Project Monitoring
DSS Data Analyst I	• Three years of experience • Knowledge of Medicaid Programs • Knowledge of ICD-9, ICD-10, and CPT codes.	Y	A	3/19/2013	Attachment G2, Section 3.2	Optum will assign or hire DSS Data Analysts to the AME DSS that meet and exceed this requirement. Our Business Solution Manager Mr. Steven Quaal, who will manage all DSS Data Analysts, has more than 20 years of experience and deep subject matter knowledge of Medicaid, ICD-9, ICD-10, and CPT. Many of our Data Analysts have 10 or more years of experience. In all of our DSS implementations we assign analysts that exceed this requirement. Optum will submit names and credentials of Pharmacy Technicians to the State for approval before an individual is assigned.	Project Monitoring
DSS Data Analyst II	• Well versed in extrapolation and sampling methods • Use of a CMS-approved methodology.	Y	A	3/19/2013	Attachment G2, Section 3.2	We will use our Optum team of analytic experts as part of our Arkansas DSS and PI Services solution. The Optum contains OIG compliant random sampling tools within it. Optum built a CMS-approved stratified sampling tools for Washington State that have been used successfully for the past 10 years. We will assign or hire DSS Data Analysts II that meet the requirements of the Analyst I level but have deep knowledge of extrapolation and sampling methods and CMS approved methodologies. These Data Analysts will also work under the direct supervision of our Business Solution Manager. Optum will submit names and credentials of Pharmacy Technicians to the State for approval before an individual is assigned.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
4.1	Federal Requirements						
DSS1	Support better understanding and management of the Medicaid program by collecting and organizing Medicaid-related data and making this data available in a timely and effective manner.	Y	A	3/19/2013	Attachment G2, Section 4.1	Optum's Symmetry ETG- and EBM Connect-enhanced data provide DHS staff additional data to further support its program management and quality of care efforts. Symmetry creates episode treatment groups (ETGs) out of disparate claims data to allow analysis of episodes of care. The evidence-based medicine (EBM) component, EBM Connect, allows comparison of treatment provided to nationally defined and/or user-created treatment protocols. In addition, Impact Pro includes a series of rigorous algorithms, including predictive risk models, each utilizing diagnostic, procedural, and pharmaceutical information available from claims data. Integrating these health analytic tools ensures that Impact Pro's predictive modeling solution presents accurate member and population disease profiles and potential gaps in care.	Project Monitoring, Systems Integration Test (SIT), Operations Readiness Testing (ORT) and User Acceptance Testing (UAT) as described in Optum's TEMP.
DSS1.1	Identify relationships between key entities in the Medicaid enterprise.	Y	A	3/19/2013	Attachment G2, Section 4.1	Optum will work with the State to determine relationships between key entities in the Medicaid enterprise and the availability of future data sources for the AME DSS. Optum's flexible data model design and COTS-based approach provides the State a platform through which data from key entities in the Medicaid enterprise can be brought together, thereby enhancing the effectiveness of the AME DSS and furthering the State's MITA maturity.	Project Monitoring, and Systems Integration Test (SIT) described in Optum's TEMP.
DSS1.2	At a minimum, transfers data from Core System claims history, Member enrollment, Provider enrollment, and primary reference data (e.g., diagnosis, procedure, National Drug Code (NDC), and pricing) information.	Y	A	3/19/2013	Attachment G2, Section 4.1	We will use the Informatica Data Integration Platform to provide Extract, Transform, and Load (ETL) capabilities. Informatica is the leading independent provider of data integration solutions and has a large installed customer base for the data integration products. The Informatica Data Integration Platform is a mature, object-based, easy-to-use repository-based COTS set of tools. The Informatica Data Integration Platform is a truly mature and integrated platform. Gartner, Inc. has positioned Informatica in the Leaders quadrant in the 2010 and 2011 Magic Quadrant for Data Integration Tools report. The Informatica ETL tool proposed by Optum for the AME DSS provides comprehensive data acquisition and data delivery capability to easily and quickly access most any data source or target system. Advanced ETL development (able to transform data while also maintaining its original values and integrity), data integration, transformation, and associated maintenance capabilities using the leading data integration platform from Informatica provides the ability to connect and integrate with data sources and repositories including data from Core System claims history, Member enrollment, Provider enrollment, and primary reference data (e.g., diagnosis, procedure, National Drug Code (NDC), and pricing) information.	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
DSS1.3	Accept data in a variety of formats from a variety of additional sources, e.g., Vital Statistics, Managed Care Organization (MCO) encounter data, Benefit Manager encounter data (pharmacy, dental, mental health), Waiver program data, and Census Bureau.	Y	A	3/19/2013	Attachment G2, Section 4.1	The Informatica ETL tool proposed by Optum for the AME DSS provides comprehensive data acquisition and data delivery capability to easily and quickly access most any data source or target system. Optum's use of Informatica, combined with our flexible data model provides Optum and DHS the ability to connect and integrate with data sources and repositories including data in a variety of formats from a variety of additional sources, e.g., Vital Statistics, Managed Care Organization (MCO) encounter data, Benefit Manager encounter data (pharmacy, dental, mental health), Waiver program data, and Census Department.	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
DSS1.4	Refresh or replace all historical claim data, Member enrollment, Provider enrollment, and other primary reference data on a scheduled basis.	Y	A	3/19/2013	Attachment G2, Section 4.1	We will utilize the Informatica ETL software to create processes to refresh historical claim data, member enrollment, provider enrollment, and other primary reference data on a scheduled basis. Optum has significant experience in working with many of the key MMIS providers across the country –(e.g., Molina in New Jersey; EDS in California; CNSI in Michigan; and ACS in several states, including New Mexico, New Hampshire, and Colorado) to develop extracts from their MMIS systems. Optum will work the State and the Core Contractor to determine the schedule, extraction method and format.	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
DSS1.5	Associate clinical data (e.g., claims attachment) with the claim record.	Y	A	3/19/2013	Attachment G2, Section 4.1	We will work the Core Contractor to identify the optimal manner to associate clinical data with the claim record. The Informatica ETL tool can utilize data elements on the clinical record and the claim record to build the necessary associations when the data is loaded into the AME DSS data warehouse tables.	Project Monitoring, SIT, ORT, and UAT as described in Optum's TEMP.
DSS1.6	Maintain synchronization of claims and encounter record dates with Provider and Member record dates (i.e., a claim or encounter is always linked to the Provider status and Member status segments associated with the date of service).	Y	A	3/19/2013	Attachment G2, Section 4.1	The Optum data model will store the claims and encounter record dates as well as the Provider enrollment and Member Record eligibility date segments. The provider and recipient date segments are updated with each data load along with the claim data from the Core System to maintain synchronization of the dates between all data.	Project Monitoring and ORT

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
DSS2	Provide timely and effective reports for management planning and control.	Y	A	3/19/2013	Attachment G2, Section 4.1	<p>The Optum AME DSS provides reporting capabilities against any data element/field in the core data warehouse to discover patterns in the data and to support many analyses and functions, such as:</p> <ul style="list-style-type: none"> • Fiscal planning and control • Program or policy and regulation reviews • Program planning and analyses • Expenditure analyses • Claim and payment processing accuracy and error reviews / edit checking and adjudication rule review • Health care service cost and utilization analyses • Provider and Member analyses <p>The comprehensive set of data in the AME DSS data warehouse combined proposed data access platform for the AME DSS from Cognos that delivers a complete set of market-leading capabilities, best of breed performance management, reporting, and query and analysis to support timely and effective reports for management planning and control.</p>	Project Monitoring, and Systems Integration Test (SIT) described in Optum's TEMP.
DSS2.1	Support simple queries and preformatted reports that are easy to access, follow a user-friendly protocol, and produce responses immediately.	Y	A	3/19/2013	Attachment G2, Section 4.1	<p>With the user reporting interface for the AME DSS, IBM Cognos Query Studio, users with little or no training can quickly design, create, and save ad-hoc queries and reports to meet reporting needs. In Cognos Query Studio, users can:</p> <ul style="list-style-type: none"> • View data: Connect to a data source to view data in a familiar, easy to use Microsoft Windows-type tree hierarchy and expand the query subjects to see query item details. • Create reports: Use the data source to create reports, which can be saved and reused. Users can also create a new report by opening an existing report, changing it, and saving it using another name. • Change the appearance of reports: Improve the layout of a report. For example, users can create a chart, add a title, specify text and border styles, or reorder columns for easy comparison. • Work with data in a report: Use filters, summaries, and calculations to compare and analyze data. Drill up and drill down to view related information. • Execute reports: Reports are run immediately instead of having to wait for a scheduled report to run or having to run them in a background process. 	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
DSS2.2	Provide ad-hoc reporting capability that presents summarized information on key factors (e.g., number of enrollees, total dollars paid) to executive staff upon request.	Y	A	3/19/2013	Attachment G2, Section 4.1	<p>We will provide these ad-hoc reporting capability for summarized information using multi-dimensional reporting (OLAP) capabilities of the Cognos Analysis Studio and Report Studio component of the Cognos 10 BI platform.</p> <p>Optum will build multi-dimensional cubes based on the business requirements and definitions identified during collaborative requirements analysis sessions with the State. These requirements will determine the aggregations to be applied as well as the data filters that will target the requested summarized data for executive staff. Optum will pre-build these multi-dimension data sources as defined during the requirements analysis sessions and will retain static data until the next scheduled refresh and can mirror those of other pre-defined and static reports as the State requests. The range of data choices and drill-down capabilities will also be defined by the State and can be modified as the State's needs evolve.</p> <p>We will work with the State to develop reports for the summarized information for key factors such as number of enrollees, total dollars paid, etc. These reports can be set up to be run on an ad-hoc basis or scheduled to run on a scheduled basis and available for quick access by executive staff.</p>	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
DSS2.3	Provide ad-hoc query capability for retrieval of data relevant to specific operational units, e.g., claims resolution, prior authorization (PA), and medical necessity review.	Y	A	3/19/2013	Attachment G2, Section 4.1	The Cognos Query Studio component of the AME DSS solution will provide access to retrieve all data elements in the AME DSS data warehouse, including claims resolution, prior authorization, and medical necessity review.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
DSS2.4	Support retrieval and presentation of data associated with geographic indicators such as by state, by county, and by zip code.	Y	A	3/19/2013	Attachment G2, Section 4.1	<p>The Geo Maps or GIS capability will let users perform sophisticated, detailed data analysis in order to better visualize and understand business information, and display results in a variety of geographically oriented formats. The GIS capability is used to:</p> <ul style="list-style-type: none"> • Create detailed maps to enhance presentations and aid in decision making • Reveal patterns and trends in the data that may otherwise be impossible to see • Perform sophisticated data analysis • Better understand recipient and provider demographics <p>Optum will create required mapping components of the solution using the Cognos 10 SDK and Cognos Map Manager. This software seamlessly integrates into the Cognos BI tool suite for more comprehensive GIS functionality. Using this geo-coded data and IBM Cognos Report Studio, users can view information that has a geographic dimension through a map. Users also have the ability to make geographical selections from the map, making the operations bi-directional in that selections made from the map are reflected in the IBM Cognos 8 BI report.</p>	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
DSS2.5	Support Federal reporting requirements when these requirements are met through the DSS.	Y	A	3/19/2013	Attachment G2, Section 4.1	<p>In addition to the Cognos Business Intelligence query and reporting, Optum will deliver our contemporary and MITA-aligned program management subsystem, IMARS. This subsystem will include the production of MAR reports as well as required CMS reports, and MSIS data feeds and supporting reports. Developed using Cognos Business Intelligence tools, IMARS reporting goes beyond the production of the mandated federal reporting – and includes extensive drill-down/drill-through capabilities to understand the underlying claim/provider/member details that make up the summary totals. In addition, IMARS provides tools that allow the user to not only easily view the details behind aggregate totals, but to also select a subset of data instead of viewing an entire report, and to view pie charts and line charts as well as detail reports.</p>	Project Monitoring, and Systems Integration Test (SIT) and Certification Readiness Test (CRT) described in Optum's TEMP.
DSS2.6	Extend system flexibility by adding enhanced reporting above and beyond what is available through other Core System functions.	Y	A	3/19/2013	Attachment G2, Section 4.1	<p>The AME DSS utilizes the Cognos 10 BI Platform to provide complete business intelligence capability. It provides a web-based environment that is easy to use, employs point-and-click technology, and is intuitive for all user types. Cognos 10 Business Intelligence (BI) provides a comprehensive tools suite and a common foundation for the required data access components, including querying, reporting, BI, DSS, and executive information systems (EIS). Cognos 10 BI delivers this complete range of BI capabilities on a single, service-oriented architecture (SOA) and it offers components appropriate for all user levels. Gartner, Inc. has positioned Cognos in the Leaders quadrant in the 2011 Magic Quadrant for Business Intelligence Platform report. This powerful BI Platform provides the State with a comprehensive suite of tools to perform enhanced reporting over and above pre-defined reporting available through the Core System components.</p>	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
DSS2.7	Support a variety of formats and output options (e.g., MS Word, MS Excel, Hyper Text Mark-up Language (HTML), MS Access database, or graphical user interface (GUI) formats).	Y	A	3/19/2013	Attachment G2, Section 4.1	The IBM Cognos BI Platform provides users the option to 'pull' the report to their desktop for analysis and research. This includes exporting the report to Excel. Reports can be generated in a variety of different formats, including HTML, PDF, XML, CSV format that can be easily imported into MS Access database. All components of the IBM Cognos BI Platform utilize a graphical user interface (GUI).	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
DSS2.8	Provide online assistance to users to support effective use of data query, data analysis, and report formatting capabilities.	Y	A	3/19/2013	Attachment G2, Section 4.1	The Cognos 10 BI platform provides a help function in each of its tools and Studios. To augment the out-of-the-box help functionality, Optum will also provide some additional information to aid the users while utilizing the environment. During requirements analysis sessions, Optum will work with the State to define options they would like available to AME DSS users, but minimally, Optum will design the Help function on the AME DSS web portal to provide hyperlinks the following: <ul style="list-style-type: none"> • Online Training how-to examples • Comprehensive index of available objects including reports, cubes, business scenarios, and report definitions • Glossary of business terms and definitions for the AME DSS • Online training manuals for all the training courses offered for the AME solution User tips on how to use the data warehouse environment, including command instructions for executing reports and queries.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
DSS3	Support improved analysis for decision-making.	Y	A	3/19/2013	Attachment G2, Section 4.1	As discussed in Identifier DSS1, the Optum AME DSS will support improved analysis for decision-making.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
DSS3.1	Maintain easy access to data relevant to the needs of staff as anticipated in the APD and/or RFP (e.g., claims adjudication, prior approval, medical review, utilization review, and analysis of specific payment areas; pharmacy, dental, and inpatient, etc.).	Y	A	3/19/2013	Attachment G2, Section 4.1	We will build a core data warehouse that will tie together the key elements of the Arkansas Medicaid Enterprise Core System. Transferring and integrating claims and encounters (in a single claims file), capitation payments, member, provider, eligibility, other Core Contractor-supplied information, and reference information is at the core of any health care data warehouse. Data supporting Arkansas Medicaid's business processes such as claims processing, prior authorization, utilization, and medical reviews, is also brought together in a single data repository. However, Optum's flexible data model allows for the integration of so much more related data. Such data includes areas such as Medicare fee schedules, clinical data, budget data, and vital records. Other external data such as census data can also be integrated into the underlying data warehouse in the future. The data integration components also capture and store relevant dates so that synchronization of data is maintained in data analyses.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
DSS3.2	Support a range of analysis actions including: benefit modeling, utilization management (UM), Provider-Member-MCO profiling, program planning, forecasting, program assessment, Provider or contractor performance, quality assurance, fraud detection, comparison of Fee-for-Service (FFS) and managed care, and other functions as described in the APD and/or RFP.				Attachment G2, Section 4.1	<p>The Optum AME DSS provides reporting capabilities against any data element/field in the core data warehouse to discover patterns in the data and to support many analyses and functions, such as:</p> <ul style="list-style-type: none"> • Fiscal planning and control • Program or policy and regulation reviews • Program planning and analyses • Expenditure analyses • Encounter and FFS service comparison, including FFS claims that should have been paid under MCO benefits • "Carved-out" services from managed care programs • Cost neutrality reporting • Claim and payment processing accuracy and error reviews / edit checking and adjudication rule review • Health care service cost and utilization analyses • Provider and Member analyses 	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
DSS3.3	Support analytical staff through sophisticated analytical tools that perform specific analytical functions (e.g., statistical analysis, comparative analysis, financial trends, case-mix adjustments with time ranges specified in the APD and/or RFP).				Attachment G2, Section 4.1	<p>We will provide statistical and modeling support in the AME DSS through Cognos 10 and the embedded SPSS functionality. IBM Cognos Statistics, powered by IBM SPSS, provides analysts with the ability to distribute reports with statistical insight to the larger AME DSS community, further expanding the breadth of reporting capabilities provided by Optum's AME DSS solution.</p> <p>Whether obtaining additional insight into key business variables or predicting future outcomes, IBM Cognos Statistics will provide the necessary fact-based statistical evidence to support key policy decisions for the State.</p> <p>This functionality within Cognos 10 also provides an extensive library of associated statistical functions including, but not limited to, linear regression modeling, basic correlation, and the creation of a variety of control charts.</p> <p>The programmatic uses of this capability include:</p> <ul style="list-style-type: none"> • High risk pregnancy analytics to perform outreach and case management to those at highest risk • Medical case management and the effectiveness of acute care management • Outcomes impact attributable to changes in drugs or procedures 	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
DSS3.4	Collect and summarize data for specific user communities (e.g., data marts or cubes) such as program analysis staff, research group, and financial management unit.	Y	A	3/19/2013	Attachment G2, Section 4.1	We will build multi-dimensional cubes based on the business requirements and definitions identified during collaborative requirements analysis sessions with the State. These requirements will determine the aggregations to be applied as well as the data filters that will target the requested summarized data for executive staff. Optum will pre-build these multi-dimension data source as defined during the requirements analysis sessions and will retain static data until the next scheduled refresh and can mirror those of other pre-defined and static reports as the State requests. The range of data choices and drill-down capabilities will also be defined by the State and can be modified as the State's needs evolve.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
DSS3.5	Provide reports that allow users to drill down from summarized data to detailed data.	Y	A	3/19/2013	Attachment G2, Section 4.1	The IBM Cognos 10 BI reporting offers users a way to see a quick summary and then drill-down to the detailed information. AME DSS users will have extensive drill-down capability from summary to detail, allowing them to verify/audit claim, provider, client, and other counts/amounts without the need to run separate queries against the data warehouse/reporting repository.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
DSS3.6	Demonstrate support for standard summarized data to be accessed by agency executives (e.g., Executive Information System or dashboards).	Y	A	3/19/2013	Attachment G2, Section 4.1	IBM Cognos 10 provides very extensive and robust capabilities for dashboards and scorecards. With Cognos Business Insight, authorized users can create personal dashboards quickly using the report objects or widgets such as list, charts, graphs, maps, or crosstabs from other reports. So without having to create anything the business users can reuse their report objects into their personalized dashboards along with the ability of adding the own analysis on the top of it. This feature allows business users to put their creativity and daily need into use.	Project Monitoring, and Systems Integration Test (SIT) described in Optum's TEMP.
FR1	Create and submit to CMS the federally required Medicaid Statistical Information System (MSIS) reports.	Y	A	3/19/2013	Attachment G2, Sections 3.1.8 and 3.1.9	The mapping of data to the MSIS files is controlled via Control Tables loaded from maintained spreadsheets. This allows changes to MSIS file ETL without coding changes.	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
FR1.1	Maintain data sets for MSIS reporting as required.	Y	A	3/19/2013	Attachment G2, Sections 3.1.8 and 3.1.9	The mapping of data to the MSIS files is controlled via Control Tables loaded from maintained spreadsheets. This allows changes to MSIS file ETL without coding changes.	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
FR1.2	Merge into MSIS data from outside sources if required: 1. Capitation payment records from enrollment process 2. Eligibility characteristic data from eligibility intake process 3. Medicaid services processed by non-Core System State departments, such as mental health services 4. Utilization based on managed care encounters	Y	A	3/19/2013	Attachment G2, Sections 3.1.8 and 3.1.9	Included as part of the IMARS functionality is the MSIS. The purpose of MSIS is to collect and disseminate information on members, utilization, and payment for services covered by State Medicaid programs. This information is furnished on the Federal fiscal year quarterly schedule, which begins October 1 of each year. Data files are subjected to quality assurance edits to validate that the data is within acceptable error tolerances. Once accepted, valid tape files are created which serve as the historical source of detailed Medicaid eligibility and paid claims data maintained by CMS. Individual paid claims and eligible information are used for program analysis and research and to produce various public use reports which represent national Medicaid populations and expenditures. MMIS data uses include: <ul style="list-style-type: none"> • Health care research and evaluation activities • Program utilization and expenditures forecasting • Analyses of policy alternatives • Responses to congressional inquiries 	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
FR1.3	Provide and maintain MSIS data for the following adjudicated claims: 1. Inpatient hospital 2. Long term institutional care 3. Prescription drugs 4. Other, not included in the above categories	Y	A	3/19/2013	Attachment G2, Sections 3.1.8 and 3.1.9	The IMARS Federal reporting module generates extract files necessary to meet Federal MSIS requirements. These extracts are used for analytical research, planning, budgeting and policy analysis. These five MSIS extract files are produced as described in the state approved Functional Design (Detailed System Design) document: <ul style="list-style-type: none"> • Member eligibility • Drug/pharmacy • Inpatient hospital • Long term care • Other claims 	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
FR1.4	Provide and maintain encounter data in appropriate claim(s) file.	Y	A	3/19/2013	Attachment G2, Sections 3.1.8 and 3.1.9	All encounter claims are included in the IMARS claims table.	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
FR1.5	Follow the eligibility reporting guidelines in "A MSIS Tape Specifications and Data Dictionary" document.	Y	A	3/19/2013	Attachment G2, Sections 3.1.8 and 3.1.9	The mapping of member eligibility data to the MSIS files is controlled via a specific Control Table loaded from maintained spreadsheets based on State staff instructions.	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
FR1.6	Meet MSIS reporting timelines, providing MSIS tapes for submission in accordance with the tape delivery schedules.	Y	A	3/19/2013	Attachment G2, Sections 3.1.8 and 3.1.9	The MSIS files and reports are generated as of required due dates.	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
FR2	Create and submit to CMS the federally required EPSDT reports.	Y	A	3/19/2013	Attachment G2, Sections 3.1.8 and 3.1.9	IMARS does produce the CMS 416 report and will work with the State staff to report accurately according the CMS requirements.	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
FR2.1	Produce the CMS-416 report in accordance with CMS requirements. The report must include: 1. The number of children provided child health screening services 2. The number of children referred for corrective treatment 3. The number of children receiving dental services 4. The State's results in attaining goals set for the State under Section 1905(r) of the Act provided according to a State's screening periodicity schedule	Y	A	3/19/2013	Attachment G2, Sections 3.1.8 and 3.1.9	IMARS does produce the CMS 416 report and will work with the State staff to report accurately according the CMS requirements.	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
FR3	Create and submit to CMS the federally required Home and Community Based Services (HCBS) waiver reports (optional, not needed if State has no waivers).	Y	A	3/19/2013	Attachment G2, Sections 3.1.8 and 3.1.9	IMARS does produce the CMS 372 and CMS 372S reports. The IMARS team will work with the State staff to address the specific waivers the State has at this time.	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
FR3.1	Produce the CMS-372 and CMS-372S annual reports on HCBS waivers in accordance with CMS requirements.	Y	A	3/19/2013	Attachment G2, Sections 3.1.8 and 3.1.9	IMARS does produce the CMS 372 and CMS 372S reports. The IMARS team will work with the State staff to address the specific waivers the State has at this time.	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
FR4	Meet all other Federal Reporting requirements.	Y	A	3/19/2013	Attachment G2, Sections 3.1.8 and 3.1.9	The IMARS product provides the following list of CMS reports: <ul style="list-style-type: none"> • CMS 21 • CMS 64.9 Base • CMS 64.9A • CMS 64.9 Waiver • CMS 64.21U • CMS 372S and CMS 372X (depending on the State specific waivers) • CMS 416 • CMS 37.7 	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
FR4.1	Provide data to support the production of CMS-37 quarterly estimates and CMS-64 expenditure reports, CMS-21, CMS-21b, the pharmacy report sent to CMS, and Statistical Enrollment Data System (SEDS).	Y	A	3/19/2013	Attachment G2, Sections 3.1.8 and 3.1.9	Data elements necessary for the creation of these reports will be loaded properly into the IMARS data mart from the DSS/DW.	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
MG5.2	Generate reports to compare FFS claims statistics and PCCM data, re: cost of care, timeliness of care, quality of care, grievance and appeals, and outcomes.	Y	A	3/19/2013	Attachment G2 Section 3.1.5.1 for FADS CTS	Case Tracking system can track appeals for PI related reasons. All other reports are DSS based.	User Acceptance Testing (UAT) as described in Optum's TEMP.
MP5.4	Detect under/overutilization of PIHP enrollees using encounter data.	Y	A	3/19/2013	Attachment G2 Section 3.1.6	The Optum IFADS solution, as described in Proposal Attachment G2, Sections 3.1.4.2 through 3.1.7.2 and specifically the SURS component described in Section 3.1.6.2, will detect underutilization and overutilization of PIHP enrollees using encounter data.	User Acceptance Testing (UAT) as described in Optum's TEMP.

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
PI1	Improve delivery of health care services and the integrity of the Medicaid program by reducing waste, fraud, and abuse through analysis of Provider performance.	Y	A	3/19/2013	Attachment G2 Sections 3.1.3 through 3.1.7	The Optum IFADS solution will assist in the goal of improving the delivery of health care services and the integrity of the Medicaid program through the identification of waste, fraud, abuse and error based on analysis of provider billings. IFADS with its SURS component will detect fraud and promote faster investigation and issuance of recovery letters. Change due to penalties and cost avoidance will also occur and providers are notified sooner of problems. Optum staff will provide ongoing suggestions for improvements to pre-payment MMIS edits as well as other cost containment initiatives that will promote meeting this overall goal.	User Acceptance Testing (UAT) as described in Optum's TEMP.
PI1.1	Produce comprehensive statistical profiles of Provider health care practices by peer groups for all categories of service(s) authorized under the Medicaid program.	Y	A	3/19/2013	Attachment G2 Sections 3.1.4, 3.1.6. and 3.1.7	The Optum IFADS solution will produce comprehensive statistical profiles of provider health care practices by peer groups for all categories of service(s) authorized under the Medicaid program and meet all CMS Checklist requirements for SURS.	User Acceptance Testing (UAT) as described in Optum's TEMP.
PI1.10	Generate early warning reports of high cost services and service misutilization based on current payment data to quickly identify high volume practices.	Y	A	3/19/2013	Attachment G2 Sections 3.1.4, 3.1.6. and 3.1.7	The Optum IFADS solution's High Cost Billing and Spike Detection components will generate early warning reports of high cost services and service misuse based on all available payment data to quickly identify high volume practices. The IFADS Provider Activity Spike Detection component automatically evaluates the entire provider population to identify those providers who have had large increases or decreases in billing activity, based on number of claims submitted, dollars paid or clients serviced. This component also produces a report of provider IDs that have not had previous activity, which gives investigators an early warning on IDs that should be closely watched to inhibit hit-and-run scams.	User Acceptance Testing (UAT) as described in Optum's TEMP.
PI1.2	Automatically identify deficiencies and generate reports on levels of care and quality of care by Provider type.	y	A	3/19/2013	Attachment G2 Sections 3.1.4, 3.1.6. and 3.1.7	IFADS and the SURS component as described in Attachment G2, Sections 3.1.4.2 through 3.1.7.2 will automatically identify deficiencies and generate reports on levels of care and quality of care by provider type.	User Acceptance Testing (UAT) as described in Optum's TEMP.
PI1.3	Automatically report on the details of the practice of Providers identified as exceptions or outliers.	Y	A	3/19/2013	Attachment G2 Sections 3.1.4, 3.1.6. and 3.1.7	Optum's IFADS SURS component automatically reports on details of providers identified as exceptions or outliers and permits the investigator to quickly drill into the claims, sample and/or export the data. SURS studies can be created to focus on any role a provider plays on claims, e.g., billing, treating/performing/rendering, attending, ordering/referring, prescribing, PCP, or other roles if tracked by the State. Figure 4-9 shows an example of peer grouping studies that can be built using SURS.	User Acceptance Testing (UAT) as described in Optum's TEMP.

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
PI1.4	Provide the capability to profile Provider groups and individual Providers within group practices.	Y	A	3/19/2013	Attachment G2 Sections 3.1.4, 3.1.6. and 3.1.7	The SURS component of IFADS provides the capability to profile provider groups and individual providers within group practices.	User Acceptance Testing (UAT) as described in Optum's TEMP.
PI1.5	Automatically identify exceptions to norms of practice established by the agency for any type of Provider covered by the State Plan.	Y	A	3/19/2013	Attachment G2 Sections 3.1.4, 3.1.6. and 3.1.7	The SURS component of IFADS as described in Proposal Attachment G2, Section 3.1.6 provides automatic identification of exceptions to norms of practice established by the agency or through statistical variation compared to their peers for every type of provider covered by the State Plan that generated a claim to the MMIS.	User Acceptance Testing (UAT) as described in Optum's TEMP.
PI1.6	Display all data by National Provider Identifier (NPI) or by a subset of the Provider's practice.	Y	A	3/19/2013	Attachment G2 Sections 3.1.4, 3.1.6. and 3.1.7	IFADS will display all data by National Provider Identifier (NPI) or by a subset of the provider's practice.	User Acceptance Testing (UAT) as described in Optum's TEMP.
PI1.7	Profile primary care case managers, including all referrals and other services received by their enrollees.	Y	A	3/19/2013	Attachment G2 Sections 3.1.4, 3.1.6. and 3.1.7	The SURS component of IFADS, as described in Proposal Attachment G2 Sections 3.1.4.2 through 3.1.7.2, profiles primary care case managers, including all referrals and other services received by their enrollees.	User Acceptance Testing (UAT) as described in Optum's TEMP.
PI1.8	Perform analysis of rendering, ordering, and billing practices to generate reports of aberrant utilization or billing patterns.	Y	A	3/19/2013	Attachment G2 Sections 3.1.4, 3.1.6. and 3.1.7	IFADS can perform analysis of rendering, ordering and billing practices to generate reports of aberrant utilization or billing patterns.	User Acceptance Testing (UAT) as described in Optum's TEMP.
PI1.9	Apply clinically approved guidelines against episodes of care to identify instances of treatment inconsistent with guidelines.	Y	A	3/19/2013	Attachment G2 Sections 3.1.4, 3.1.6. and 3.1.7	Optum will apply clinically approved guidelines against episodes of care to identify instances of treatment inconsistent with guidelines. The AME DSS will contain the episodes of care data and use it as the primary source for this activity.	User Acceptance Testing (UAT) as described in Optum's TEMP.

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PI2	Improve delivery of health care services and the integrity of the Medicaid program by reducing waste, fraud, and abuse through analysis of Member utilization.	Y	A	3/19/2013	Attachment G2, Sections 3.1.3 through 3.1.7	IFADS and related audit and staff services will help improve delivery of health care services and the integrity of the Medicaid program by reducing waste, fraud, error and abuse through analysis of member utilization. IFADS can look at member usage based on provider billing and can detect both member abuse (e.g., doctor shopping) and fraudulent or abusive billing for a member by a provider (e.g., excessive or medically unnecessary services).	User Acceptance Testing (UAT) as described in Optum's TEMP.
PI2.1	Automatically identify exceptions to norms of utilization or quality of care standards established by the agency for any type of Member covered by the State Plan.	Y	A	3/19/2013	Attachment G2 Sections 3.1.4, 3.1.6. and 3.1.7	The SURS component of IFADS will automatically identify exceptions to norms of utilization or quality of care standards established by the agency and through statistical variation for any type of member covered by the State Plan.	User Acceptance Testing (UAT) as described in Optum's TEMP.
PI2.2	Track federally assisted program participants separately from other categories of assistance.	Y	A	3/19/2013	Attachment G2 Sections 3.1.4, 3.1.6. and 3.1.7	The IFADS solution, described in Proposal Attachment G2, Sections 3.1.4.2 through 3.1.7.2, will track federally assisted program participants separately from other categories of assistance.	User Acceptance Testing (UAT) as described in Optum's TEMP.
PI2.3	Identify Members who exceed program norms, ranked in order of severity.	Y	A	3/19/2013	Attachment G2 Sections 3.1.4, 3.1.6. and 3.1.7	The SURS component of IFADS will identify members who exceed program norms, ranked in order of severity.	User Acceptance Testing (UAT) as described in Optum's TEMP.
PI2.4	Identify services received by Members who are enrolled in selected programs.	Y	A	3/19/2013	Attachment G2 Sections 3.1.4, 3.1.6. and 3.1.7	IFADS can identify services received by members who are enrolled in selected programs.	User Acceptance Testing (UAT) as described in Optum's TEMP.
PI2.5	Identify services received by Members who have specified diagnoses.	Y	A	3/19/2013	Attachment G2 Sections 3.1.4, 3.1.6. and 3.1.7	IFADS can identify services received by members who have specified diagnoses.	User Acceptance Testing (UAT) as described in Optum's TEMP.
PI2.6	Link all services to a single Member regardless of the number of historical changes in Member ID.	Y	A	3/19/2013	Attachment G2 Sections 3.1.4, 3.1.6. and 3.1.7	IFADS can link all services to a single member regardless of the number of historical changes in member ID. This can be done only through MMIS or other data which provides all previously assigned member IDs for the member.	User Acceptance Testing (UAT) as described in Optum's TEMP.

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
PI2.7	Profile all services provided to a Member during a single episode of care.	Y	A	3/19/2013	Attachment G2, Section 3.1.6	Optum will profile all services provided to a member during a single episode of care. Episode of care data will be stored in the AME DSS, available for analysis within the IFADS tool.	User Acceptance Testing (UAT) as described in Optum's TEMP.
PI2.8	Provide a methodology and generate a report to classify treatment modalities into peer group categories, by diagnosis or range of diagnosis codes.	Y	A	3/19/2013	Attachment G2 Sections 3.1.4, 3.1.6. and 3.1.7	Optum will provide a methodology and generate a report to classify treatment modalities into peer group categories by diagnosis or range of diagnosis codes.	User Acceptance Testing (UAT) as described in Optum's TEMP.
PI2.9	Provide (has) the capability to generate reports of individual Members by peer	Y	A	3/19/2013	Attachment G2 Sections 3.1.4, 3.1.6. and 3.1.7	IFADS has the capability to generate reports of individual members by peer group.	User Acceptance Testing (UAT) as described in Optum's TEMP.
PI3	Support analysis of, and provide reports for fraud and abuse analysis and investigations	Y	A	3/19/2013	Attachment G2, Sections 3.1.3 through 3.1.7	IFADS will support analysis of and provide reports for fraud and abuse analysis and investigations including investigation tools and case tracking.	User Acceptance Testing (UAT) as described in Optum's TEMP.
PI3.1	Utilize a minimum level of [avoid] manual clerical effort in providing information that reveals potential defects in level of care and quality of service.	Y	A	3/19/2013	Attachment G2 Sections 3.1.4, 3.1.6. and 3.1.7	IFADS is easy to use and utilizes a minimum level of manual clerical effort in providing information that reveals potential defects in level of care and quality of service. A complete description of the functionality provided with IFADS is included in Proposal Attachment G2, Sections 3.1.4.2 through 3.1.7.2.	User Acceptance Testing (UAT) as described in Optum's TEMP.
PI3.10	Facilitate export of claims-based class groupings such that data can be used by spreadsheet or database software.	Y	A	3/19/2013	Attachment G2 Sections 3.1.4, 3.1.6. and 3.1.7	IFADS allows for fast and easy export of claims-based class groupings so that data can be used by spreadsheet or database software.	User Acceptance Testing (UAT) as described in Optum's TEMP.
PI3.11	Support fraud and abuse investigations.	Y	A	3/19/2013	Attachment G2, Section 3.1.7	IFADS supports fraud and abuse investigations in many other Medicaid programs and will provide that capability for the State.	User Acceptance Testing (UAT) as described in Optum's TEMP.

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
PI3.12	Support pattern recognition and provide an automated fraud and abuse profiling system for the ongoing monitoring of Provider and Member claims to detect patterns of potential fraud, abuse and excessive billing.	Y	A	3/19/2013	Attachment G2 Sections 3.1.4, 3.1.6. and 3.1.7	IFADS supports pattern recognition and provides an automated fraud and abuse profiling system for the ongoing monitoring of provider and member claims to detect patterns of potential fraud, abuse and excessive billing.	User Acceptance Testing (UAT) as described in Optum's TEMP.
PI3.13	Provide and store all utilization reports in the medium designated by the State.	Y	A	3/19/2013	Attachment G2 Sections 3.1.4, 3.1.6. and 3.1.7	IFADS provides and stores all utilization reports in the medium designated by the State. All case work and related historical documents can be stored in the Case Tracking component of the solution.	User Acceptance Testing (UAT) as described in Optum's TEMP.
PI3.14	Provide the flexibility to vary time periods for reporting purposes and to produce reports on daily, monthly, quarterly basis, or other frequency specified by the State.	Y	A	3/19/2013	Attachment G2 Sections 3.1.4, 3.1.6. and 3.1.7	The SURS component of IFADS provides the flexibility to vary time periods for reporting purposes and to produce reports on daily, monthly, quarterly or other frequency specified by the State. It also permits the user to modify and re-run the projects using longer or shorter time periods to demonstrate a providers change in billing behavior before and after an intervention. This can be very useful to the Medicaid Fraud Control Unit (MFCU).	User Acceptance Testing (UAT) as described in Optum's TEMP.
PI3.15	Maintain a process to apply weighting and ranking of exception report items to facilitate identifying the highest deviators.	Y	A	3/19/2013	Attachment G2 Sections 3.1.4, 3.1.6. and 3.1.7	The SURS component of IFADS maintains a process to apply weighting and ranking of exception report items to facilitate identifying the highest deviators. The Optum SURS solution provides additional flexibility in that the user can modify the weights of exception report items.	User Acceptance Testing (UAT) as described in Optum's TEMP.
PI3.16	Provide for development and implementation of technical and end-user training programs.	Y	A	3/19/2013	Attachment G2 Sections 3.1.4, 3.1.6. and 3.1.7	We will provide for development and implementation of technical and end-user training programs. Our training program is described in Proposal Attachment G2, Section 2.6, Training Requirements.	User Acceptance Testing (UAT) as described in Optum's TEMP.

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
PI3.2	Provide the ability to perform analysis and produce reports responsive to requests from Title XIX managers, QIO and State Medicaid fraud control unites by means of computerized exception processing techniques.	Y	A	3/19/2013	Attachment G2 Sections 3.1.4, 3.1.6. and 3.1.7	We will provide the ability to perform analysis and produce reports responsive to requests from Title XIX managers, QIO and State Medicaid fraud control units by means of computerized exception processing techniques. This is standard for the SURS and other components of the IFADS solution, fully described in Proposal Attachment G2, Sections 3.1.4.2 through 3.1.7.2.	User Acceptance Testing (UAT) as described in Optum's TEMP.
PI3.3	Select claims and encounter data dating back to whatever time period is appropriate for the specific research.	Y	A	3/19/2013	Attachment G2 Sections 3.1.4.2 and 3.1.6.2	IFADS can select claims and encounter data dating back to whatever time period is appropriate for the specific research.	User Acceptance Testing (UAT) as described in Optum's TEMP.
PI3.4	Support the capability to produce claim and encounter detail and special reports by Provider-type and Member classification (e.g., category of service (COS) and other key variables (e.g., group practice, case)).	Y	A	3/19/2013	Attachment G2 Sections 3.1.4.2 and 3.1.6.2	IFADS supports the capability to produce claim and encounter detail and special reports by provider-type and member classification (e.g., category of service and other key variables such as group practice and case).	User Acceptance Testing (UAT) as described in Optum's TEMP.
PI3.5	Support capability to perform focused review and to generate reports of all reviews undertaken.	Y	A	3/19/2013	Attachment G2 Sections 3.1.4.2 and 3.1.6.2	IFADS supports the capability to perform focused review and to generate reports of all reviews undertaken.	User Acceptance Testing (UAT) as described in Optum's TEMP.
PI3.6	Provide (has) the capability to suppress processing on an individual within specified categories on a run-to-run basis.	Y	A	3/19/2013	Attachment G2 Sections 3.1.4.2 and 3.1.6.2	The SURS component of IFADS has the capability to suppress processing on an individual within specified categories on a run-to-run basis. This can be done by any authorized user.	User Acceptance Testing (UAT) as described in Optum's TEMP.

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
PI3.7	Provides access to all data elements outlined in the SMM Part 11 (Part II), section 11335 and all additional data required for appropriate analysis of the program.	Y	A	3/19/2013	Attachment G2, Sections 3.1.4 through 3.1.7	IFADS provides access to all data elements outlined in SMM Part 11 (Part II), section 11335 and all additional data required for appropriate analysis of the program. IFADS is operating in many Medicaid programs and was recently certified as meeting this requirement in both Washington State and the District of Columbia.	User Acceptance Testing (UAT) as described in Optum's TEMP.
PI3.8	Generate reports as needed.	Y	A	3/19/2013	Attachment G2 Sections 3.1.4.2 and 3.1.6.2	IFADS includes a powerful and flexible report generation capability. For more detail, please refer to Proposal Attachment G2, Sections 3.1.4.2 through 3.1.7.2.	User Acceptance Testing (UAT) as described in Optum's TEMP.
PI3.9	Test criteria and develop algorithms for expected outcomes prior to production of reports.	Y	A	3/19/2013	Attachment G2 Sections 3.1.4.2 and 3.1.6.2	We will test all criteria and develop algorithms for expected outcomes prior to production of reports. Optum will modify reports to eliminate false positives where possible.	User Acceptance Testing (UAT) as described in Optum's TEMP.
PI4	Identify and analyze program trends and directions in Provider, Member, and service utilization and expenditure patterns.	Y	A	3/19/2013	Attachment G2 Sections 3.1.4.2 and 3.1.6.2	IFADS can identify and analyze program trends and directions in provider, member and service utilization and expenditure patterns.	User Acceptance Testing (UAT) as described in Optum's TEMP.
PI4.1	Investigate and reveal misutilization of the State's Medicaid program services by individual participants and promote corrective action.	Y	A	3/19/2013	Attachment G2, Sections 3.1.3 through 3.1.7	IFADS is easy to use, and provides a powerful, comprehensive tool to investigate and reveal misuse of the State's Medicaid program services by individual participants and promote corrective action.	Systems Integration Test (SIT) and User Acceptance Testing (UAT) as described in Optum's TEMP.
PI4.2	Develop Provider and Member (physician and patient) profiles sufficient to provide specific information as to the use of covered type of service and items, including prescribed drugs.	Y	A	3/19/2013	Attachment G2 Sections 3.1.4.2 and 3.1.6.2	Optum will develop provider and member (physician and patient) profiles sufficient to provide specific information in the use of covered type of service and items, including prescribed drugs.	User Acceptance Testing (UAT) as described in Optum's TEMP.

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
POS1.7	Interface with the Core System or other payment systems to maintain records of time of claims payment in order for the payment system to pay claims within 30 calendar days of receipt by the POS of an error free claim.	Y	A	3/19/2013	Attachment G2 Section 4.1	Optum will work with the Core Contractor and the State to define the claims data elements that track time of claims payment information and include them in the AME DSS. We will work with the State to develop reports within the AME DSS that can be used to identify claims paid within 30 calendar days of receipt. Optum has experience doing this in other Optum DSS implementations, specifically Michigan and the State of Washington.	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
WA5.1	Gather (HCBS) data and produce a variety of financial reports to facilitate cost reporting and financial monitoring of waiver programs.	Y	A	3/19/2013	Attachment G2, Sections 3.1.8 and 3.1.9	IMARS does produce the CMS 372 and CMS 372S reports. The IMARS team will work with the State staff to address the specific waivers the State has at this time.	Project Monitoring, Systems Integration Test (SIT), Operations Readiness Testing (ORT) and User Acceptance Testing (UAT) as described in Optum's TEMP.
WA5.2	Gather (HCBS) data and produce utilization reports for monitoring cost neutrality of waiver services to a target population. The average cost of waiver services cannot be more than the cost of alternative institutional care. State may define average either in aggregate or for each Member.	Y	A	3/19/2013	Attachment G2, Sections 3.1.8 and 3.1.9	IMARS does produce the CMS 372 and CMS 372S reports. The IMARS team will work with the State staff to address the specific waivers the State has at this time.	Project Monitoring, Systems Integration Test (SIT), Operations Readiness Testing (ORT) and User Acceptance Testing (UAT) as described in Optum's TEMP.
4.2	State-Defined Requirements						
PISS1.11	Develop queries based on clinical guidelines.	Y	A	3/19/2013	Attachment G2, Section 3.1.6	We will develop queries based on clinical guidelines.	User Acceptance Testing (UAT) as described in Optum's TEMP.
PISS1.12	Determine outliers within different selected criteria.	Y	A	3/19/2013	Attachment G2, Section 3.1.6	IFADS Analytics and SURS components determine outliers within different selected criteria. Using the rich data set of the Optum AME DSS and IBM Cognos users can develop queries that determine outliers with virtually unlimited criteria.	User Acceptance Testing (UAT) as described in Optum's TEMP.

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
DSR1.1	Provide a catalog of queries, including descriptions of each item, for the State users to view and select as a basis for new ad-hoc reports.	Y	A	3/19/2013	Attachment G2, Section 4.2	<p>IBM Cognos Connection will serve as the catalog of reports. Cognos Connection has a folder-driven module that makes structuring libraries of reports and information intuitive and easy to follow by nesting them into a hierarchy of folders. Within Cognos Connection, there will be a public area - Public Folders, where initial and future reports will be stored and a private area - My Folders, where user can store their own queries and reports. One of the advantages of this Cognos 10 environment is that a report can be defined and created once, yet shared by many. This promotes similar calculations, definitions, and report purposes across the State or sub-groups within DHS. Both of these areas (Public and Private) will be secured and the users will have access to different folders/areas depending on their security profile. The interface path between the Web Portal, Cognos Connection, and the database will be secure and maintained through the web portal.</p>	Project Monitoring, and Systems Integration Test (SIT) described in Optum's TEMP.
DSR1.3	Provide the ability to forecast implications or outcomes for applications such as risk adjustment to managed care rates, changes in a drug's preferred or covered status, and changes to rate components for Medicaid reimbursement.	Y	A	3/19/2013	Attachment G2, Section 4.2	<p>The AME DSS provides reporting capabilities against any data element/field in the core data warehouse to discover patterns in the data and to support many analyses and functions, such as:</p> <ul style="list-style-type: none"> • Care management opportunities • Program service cost projections/budget forecasting • Program or policy and regulation reviews • Program planning and analyses • Expenditure analyses • Claims and processing analyses • Health care service cost and utilization analyses • Provider analyses • Member analyses 	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
DSR1.4	Provide online context sensitive help to guide users in the use of the DSS solution.	Y	A	3/19/2013	Attachment G2, Section 4.2	<p>The Cognos 10 BI platform provides a help function in each of its tools and Studios. To augment the out-of-the-box help functionality, Optum will also provide additional information to aid the users while utilizing the environment. During requirements analysis sessions, we will work with the State to define options they would like available to AME DSS users. Optum will design the Help function on the AME DSS web portal to provide hyperlinks to the following:</p> <ul style="list-style-type: none"> • Online Training how-to examples • Comprehensive index of available objects including reports, cubes, business scenarios, and report definitions • Glossary of business terms and definitions for the AME DSS • Online training manuals for all the training courses offered for the AME solution • User tips on how to use the data warehouse environment, including command instructions for executing reports and queries. 	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
DSR1.6	Allow multiple users to simultaneously view shared stored reports.	Y	A	3/19/2013	Attachment G2, Section 4.2	<p>IBM Cognos Connection will serve as the catalog of reports. Cognos Connection has a folder-driven module that makes structuring libraries of reports and information intuitive and easy to follow by nesting them into a hierarchy of folders. Within Cognos Connection, there will be a public area - Public Folders, where initial and future reports will be stored and a private area - My Folders, where user can store their own queries and reports. Multiple users are able to view a report in the – Pubic Folders section simultaneously.</p> <p>One of the advantages of this Cognos 10 environment is that a report can be defined and created once, yet shared by many. This promotes similar calculations, definitions, and report purposes across the State or sub-groups within DHS.</p> <p>Both of these areas (Public and Private) will be secured and the users will have access to different folders/areas depending on their security profile.</p> <p>The interface path between the Web Portal, Cognos Connection, and the database will be secure and maintained through the web portal.</p>	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
DSR1.7	Provide access to DW/DSS functionality for all authorized State agencies.	Y	A	3/19/2013	Attachment G2, Section 4.2	<p>The Security Officer will be responsible for granting access to AME DSS functionality, maintaining the user community list and preventing unauthorized users from gaining access to the AME DSS. The Security Officer only grants access to authorized State agencies with express approval from an authorized DHS representative.</p> <p>Optum believes in the practice of the principle of least privilege by granting users the minimum access rights and privileges required for their job and adopting role-based access controls to manage access rights by job description or responsibility. This ensures users are only allowed to access database objects for which they have been explicitly granted rights, and also protects against the accidental disclosure or loss of data. Users' access rights will be periodically reviewed to ensure that unauthorized privileges have not been obtained and will be immediately dropped or revoked if a user changes jobs or leaves the organization. Role-based access controls will reduce the complexity and cost of security administration in the AME DSS environment by allowing for security management at a level that more closely corresponds to the DHS' structure.</p>	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
DSSSS2.9	Provide dedicated staff with both technical and clinical knowledge for help line assistance for the DSS solution.	Y	A	3/19/2013	Attachment G2, Section 4.2	<p>The first point of contact for this support is the Optum AME DSS Service Desk. It is important to note that the Optum Service Desk staff will not be just 1st-level call-takers whose main purpose is limited to fielding calls and then re-routing to others to address and resolve questions or problems. AME DSS Service Desk staff are knowledgeable enough to work directly with users from start to finish so that they can address and resolve questions, problems, or issues. In addition, our Service Desk staff will not only provide support, they will analyze the types of questions they receive, the difficulties with usage that they encounter, and make recommendations for future training enhancements or seminars. The Optum AME DSS Service Desk team will provide a broad spectrum of services to AME DSS users. This will include help for users in:</p> <ul style="list-style-type: none"> • Assist with query creation for retrieving desired data • Selectively viewing and presenting data • Formatting and saving reports • Developing specialized reports • Developing alternative ways to group, present, or otherwise enhance the understanding of reports and interpreting query results • Provide technical support to users as may be needed to interpret query error messages 	Project Monitoring
DSSSS2.11	Provide the capability to compare similarities between groups, such as percentages of Members eligible for waiver programs versus those actually utilized services.	Y	A	3/19/2013	Attachment G2, Section 4.2	<p>Optum acknowledges and will comply with this requirement. The Optum AME DSS environment provides analytic capabilities to support the analysis of study populations. Comparing characteristics of populations and sub-populations can be done by identifying the business rules associated with waiver eligibility and identifying those that participate. Once the population is defined, comparisons and contrasts can be run as queries against any number of selected variables. We will work with State staff to create queries, reports or analytic cubes that provide the best solution to the State's need for information. Once the business rules are defined, they can be imbedded in the IBM Cognos meta-layer to standardize queries and to make it easier for State staff to perform their own analysis.</p>	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
DSSSS2.12	Provide access to all data in the DW (via the DSS) in real time or near-real-time for reporting and query purposes.	Y	A	3/19/2013	Attachment G2, Section 4.2	<p>Access to the data in the AME DSS is provided in a real-time environment. Reports and queries can be executed on-demand without having to schedule reports in a batch environment, or to run in a background process. A user may schedule report to run at specific time if desired.</p>	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
DSSSS2.14	Provide query capabilities of all data in the DW/DSS tool.	Y	A	3/19/2013	Attachment G2, Section 4.2	The AME DSS provides reporting capabilities against any data element/field in the core data warehouse to discover patterns in the data and to support many analyses and functions, such as: <ul style="list-style-type: none"> • Care management opportunities • Program service cost projections/budget forecasting • Program or policy and regulation reviews • Program planning and analyses • Expenditure analyses • Claims and processing analyses • Health care service cost and utilization analyses • Provider analyses • Member analyses 	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
DSSSS3.7	Provide the ability to view medical review information in DSS.	Y	A	3/19/2013	Attachment G2, Section 4.2	We will work with the Core Contractor to extract medical review information from the Core System to load in the AME DSS. The IFADS Case Management system will contain medical review information related to specific investigations and can be viewed by users as authorized by DHS.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
DSSSS3.8.1	Update the DW with financial transaction data (accounts payable and receivable) including claim data associated with the transaction on a schedule defined by the State.	Y	A	3/19/2013	Attachment G2, Section 4.2	We will work with the Core Contractor to extract accounts payable and receivable financial transaction and associated claim data stored in the Core System to load in the AME DSS.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
DSSSS3.9	Provide a predictive and "what if" scenario modeling capability.	Y	A	3/19/2013	Attachment G2, Section 4.2	<p>IBM Cognos BI Platform provides a Trending and Scenario modeling capability. This component will serve the AME DSS business users who want to perform top and bottom analysis, slice and dice data, easily create subsets of their data, and compare different levels and dimensions against one another in the same report. It will also serve the AME DSS business users who want to perform what-if analysis (or Scenario Modeling).</p> <p>Optum provides these multi-dimensional reporting (OLAP) capabilities using Analysis Studio and Report Studio component of the Cognos 10 BI platform. Optum will build multi-dimensional cubes based on the specific business requirements and definitions identified during collaborative requirements analysis sessions. These requirements will determine the aggregations to be applied as well as the data filters that will limit the scope of the summarized data. Optum will pre-build these multi-dimension data source as defined during the requirements analysis sessions and will retain static data until the next scheduled refresh and can mirror those of other pre-defined and static reports as the State requests. The range of data choices and drill-down capabilities will also be defined by the State and can be modified as the State's needs evolve. Cognos Analysis Studio provides capabilities to slice and dice, drill-down (from the highest to lowest level of detail), drill up (from detail-to-summary level), drill across, and pivot datasets or results. With Analysis Studio, users can also create their own views of the cubes in the form of Cognos cubes or reports, where they have new, sophisticated features such as deep comparative analysis (comparing dimensions side by side).</p>	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
DSSSS3.10	Provide a means to cross-check the financial information between the claims data in the DSS and the financial transactions in the Core System (identify and sustain a single source of truth for all data).	Y	A	3/19/2013	Attachment G2, Section 4.2	<p>Optum's DSS design of ELT where the data is loaded before transformation and stored in Third Normal Form means that it will tie out to the source system and can be used to cross check financial transactions in the Core MMIS. The DSS is designed to clean and enrich data and to provide tools and data structures that make analysis easier. This makes the DSS not only the best single source of the truth in terms of data but also the best place to do analytic cross checks of the Core system and overall analysis of business issues and reporting. Organizations set up a data warehouse when it is perceived that enterprise data is critical to the successful running of their business. They realize that operational and transactional data is a key asset, but alone it will not provide strategic and analytical insights. It must be combined with other analytical, historical, and external data in an integrated data warehouse to become mission-critical to the business.</p>	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
DSSSS3.12	Provide access of files across agencies/departments within the State system to reduce the time it takes to do analysis on programs.	Y	A	3/19/2013	Attachment G2, Section 4.2	<p>We will do this by paying careful attention to fundamental details:</p> <ul style="list-style-type: none"> • Build a flexible, scalable architecture. Over time, the State will want to add more data, users, and subject. A data warehouse architecture (and data management architecture) that is flexible and scalable will allow for orderly evolution instead of growth by assimilation. • Implement a vibrant enterprise model. Integrated enterprise modeling (logical and physical) is critical to a data warehouse's design and alignment to business needs. The model determines how business and IT will define, use, view, update, and maintain data. • Help DHS establish a strategic enabler versus a cost center. The AME DSS will run the risk of falling into disuse or failing to realize its full potential when it does not deliver on expectations of value. When DHS desires to add data to the AME DSS from new departments, agencies, or other subject areas and users into the data warehouse, we will help DHS prepare a business case to predict return on investment for these efforts. • Help assign accountability. Optum will help the State establish a governance team that reviews data warehouse initiatives for proper planning, prioritization, funding, and accountability. Governance is defined as the alignment of the business and data warehouse strategy. It is based on processes whereby project sponsors present and prioritize proposals, allocate resources, resolve issues, make decisions and hold parties accountable for results. • Integrate into DHS' culture. We will work with DHS to establish a steering committee and process to help drive toward best practices that reconcile the politics of human nature and government business. Through this process, we will help enforce data governance and the management of service levels to minimize cultural politics. 	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
DSSSS3.15	Propose DSS capabilities and functionality that equals or exceeds those of the current DSS.	Y	A	3/19/2013	Attachment G2, Section 4.2	<p>We have reviewed the information in the bidder's library, and spent time with DHS staff in order to understand its challenges and needs for reporting, analysis and business intelligence. Optum is confident that the proposed solution for the AME DSS, comprised of a flexible, integrated data model, industry leading COTS business intelligence tools, federally certifiable solutions for federal reporting and fraud and abuse detection, and sophisticated quality of care analysis and episode grouping software will be able to exceed the functionality of the current DSS.</p>	Project Monitoring, Systems Integration Test (SIT), Operations Readiness Testing (ORT) and User Acceptance Testing (UAT) as described in Optum's TEMP.

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DSSSS3.16	<p>Provide functional equivalents for the current DSS solution's additional software:</p> <ol style="list-style-type: none"> 1. MapInfo, a geographical mapping tool that lets users map information according to Member or Provider demographics. 2. PC-based Statistical Analyses for the Social Sciences (SASS), a statistical analysis tool. 3. DSS Profiler, a subset of information to enhance the analytical capabilities of the DSS that provides partial redundant functionality to Pandora. 4. DSS Profiler also provides age/sex/morbidity adjustments that 	Y	A	3/19/2013	Attachment G2, Section 4.2	Optum acknowledges and will comply with this requirement.	Project Monitoring, and Systems Integration Test (SIT) described in Optum's TEMP.
DSSSS3.19	Provide a DSS solution that operates in a client/server environment that incorporates data warehousing technologies.	Y	A	3/19/2013	Attachment G2, Section 4.2	<p>Optum's AME DSS will utilize Cognos 10 BI which provides a scalable solution and that is architected to accommodate the complete range of user functionality for the duration of the contract. IBM Cognos 10 BI, as a leader in BI tools, is designed for enterprise-level deployment. It offers scalability for thousands of users through an N-tiered, client service multi-server, multi-threaded architecture.</p> <p>Cognos 10 BI is based on a SOA, and it provides a very scalable solution that can easily accommodate the anticipated user growth rate of the AME DSS environment. Because of the SOA of IBM Cognos 10 BI, adding components to the BI environment will require no interruption for the existing users. Supplementing the system and evolving FSSA requirements with new servers will not require new configuration as it automatically distributes across available resources. Because of this scalable architecture from IBM Cognos 10 BI, Optum will be able to quickly meet the needs of the State without a detrimental effect on performance, as the user population grows.</p>	Project Monitoring, and Systems Integration Test (SIT) described in Optum's TEMP.

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DSSSS3.20	Enable users to access the database through the local area network (LAN) and maintain security through the network and the application itself.	Y	A	3/19/2013	Attachment G2, Section 4.2	We propose an on-line centralized security and access management process which follows 45 CFR Parts 160 and 164 Subparts A and E as both requirements for PHI and guidelines for other personal information in the AME DSS. Optum's Security and Privacy Plan will also comply with Arkansas Data and Security Classification Document SS-70-001, National Institute of Standards and Technology Special Publication 800-53, revision 3, as updated May 1, 2010; and applicable requirements under the Office of the National Coordinator certification criteria for electronic health record technology. A separate network zone will be created that will allow access to computing environments, applications and analytic marts such as Symmetry. Only authorized users that have already passed through multiple firewalls will have access to the database and applications. In addition to network security, each application will also access limitations that are user-based, role-based, or a combination of both. Only authorized users presenting valid credentials will have access to the applications.	Project Monitoring, and Systems Integration Test (SIT) described in Optum's TEMP.
DSSSS3.24	Provide standard search criteria with smart query functionalities.	Y	A	3/19/2013	Attachment G2, Section 4.2	IBM Cognos 10 BI software provides an Enhanced Search function. The Search function allows users to explore their business intelligence content. It quickly and securely accesses both structured and unstructured information using a standard search interface.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
DSSSS3.25	Update data in the DW/DSS on a schedule to be determined by the State if data cannot be updated in real-time.	Y	A	3/19/2013	Attachment G2, Section 4.2	The Informatica Extraction, Transformation, and Load (ETL) software proposed by Optum for the AME DSS supports real-time data loading. Differing techniques gather data from the origin systems and pushes it to the database: <ul style="list-style-type: none"> • Changed data capture. Enables the latest data to be captured and included in the database to support data freshness and completeness • Micro-batch model. Utilizes small, frequent, scheduled pulls of information to gather such data as click-stream or call detail records Optum will work with DHS to determine if data requirements, such as high-availability metrics by the users, tactical query response times by user and analytics, and scalability in terms of concurrent users and delivery mechanisms, may be advantageous for AME DSS users. Optum will also work with the Core Contractor to determine the method by which Core System data can be provided in real-time or near-real time.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.

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DSSSS3.28	Resolve all DSS data load errors within one State work day of identification of the error.	Y	A	3/19/2013	Attachment G2, Section 4.2	<p>Our experience with other state implementations suggests that extracted data from the MMIS and other sources systems should be loaded "as is" as much as possible. This helps in making direct data quality comparisons with the source system. Once the data quality is assessed and verified, transformation routines can then be applied to the extracted data. We have extensive experience with enhancing the data quality after it is extracted and loaded into a DW/DSS environment. Optum will work as a team with the State to assess and improve data quality whenever possible. As part of our on-going operations support, Optum will make recommendations to the State that will help improve data quality without compromising the integrity of the data. Typically, this is an iterative process and, with active participation from Optum and the State, the quality of AME DSS data will continually improve over time.</p> <p>Optum will research and resolve any errors that occur within the data load process within one day. We will notify the Core Contractor of any errors caused by the data extract processes from the Core System for resolution by the Core Contractor.</p>	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
DSSSS3.29	Resolve DSS functionality errors within five State work days of identification of the error.	Y	A	3/19/2013	Attachment G2, Section 4.2	<p>The Optum Service Desk will be responsible for creating and updating information regarding DSS functionality errors into the BMC Footprints Service Desk system. When the problem ticket is entered into the system, the appropriate triage function will be performed, and an individual will be assigned to the issue. This individual will have the required subject matter and organizational knowledge, and be in a position to provide the level of support required to satisfactorily resolve the request or issue. If the problem is suspected to be a Severity Level 1 Defect (resolve within 24 hours) or Level 2 Defect (resolve within 3 calendar days), the Optum Project Manager is notified. With this discipline, the Optum Project Manager is engaged on all suspected high priority problems without delay, regardless of notification source. For problems assigned a Severity Level 3 or higher (resolve within an agreed upon schedule between the Contractor and the State after the defect was identified), Optum will work with the State to determine the resolution period as specified in AME DSS Attachment G2, Section 2.10.3 DSS Performance Standards, requirement PERF2.23. Optum will make every effort to resolve all DSS functionality errors within five days of receipt of notification.</p>	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
DSSSS3.32	Provide access to standard reports and ability to conduct searches by name using a standard nomenclature or report naming convention.	Y	A	3/19/2013	Attachment G2, Section 4.2	As described in Identifier DSSSS3.24 above, IBM Cognos 10 BI software provides an Enhanced Search function.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.

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DSSSS3.37	Provide detailed audit trail reporting of DSS data queries and data records retrieved and manipulated.	Y	A	3/19/2013	Attachment G2, Section 4.2	Users will not have direct access to the physical tables in the production database. Only database administrators and developers (during the development phase) will have direct access to these physical tables. End users will not have the capability to alter the data on the production database. The Oracle RDBMS has checkpoint/restart capabilities inherent within the system. The system ensures data integrity by maintaining an unmodified copy of each record to be changed in the Transient Journal. If production processing is interrupted, the system will automatically restore the data to the way it was prior to starting the transaction. All the activities on the Oracle RDBMS will be logged using the Oracle's Access Logging facility. This will help in the identification of the DSS queries performed, and the person responsible for accidental or intentional data erasure or corruption.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
DSSSS3.38	Provide standard, customizable and ad hoc reporting and query capabilities to support all State and Core System business area reporting needs of the State.	Y	A	3/19/2013	Attachment G2, Section 4.2	IBM Cognos BI will be the focal point of the solution, meeting the diverse needs of the AME DSS user community. Using IBM Cognos 10 BI, Optum will provide a single product architecture across a full range of business intelligence capabilities including query, reporting, dashboard, multi-dimensional analysis, and Executive Information System (EIS) and DSS functionality.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
DSSSS3.40	Provide state of the art data mining tools for preparing ad hoc reports.	Y	A	3/19/2013	Attachment G2, Section 4.2	The Cognos Query Studio will provide ad hoc querying and reporting.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
DSSSS3.41	Provide a document management repository for storing of all routinely generated and ad hoc reports.	Y	A	3/19/2013	Attachment G2, Section 4.2	IBM Cognos Connection will serve as the catalog of reports. Cognos Connection has a folder-driven module that makes structuring libraries of reports and information intuitive and easy to follow by nesting them into a hierarchy of folders. Within Cognos Connection, there will be a public folder, where initial and future reports will be stored and a private folder, where users can store their own queries and reports. Multiple users are able to view reports in the public folders section.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
DSSSS3.42	Two requirements: Provide an index to a report dictionary . Automatically update the index when a new report is developed.	Y	A	3/19/2013	Attachment G2, Section 4.2	Arkansas users will use Cognos Connection to publish, find, manage, organize, and view business content, such as reports, queries, and dashboards. With necessary permissions, users can also access content administration, including scheduling and distributing reports, and creating jobs.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.

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DSSSS3.43	Provide authorized users the ability to produce reports by pulling only specified data fields or modify data fields to produce the report.	Y	A	3/19/2013	Attachment G2, Section 4.2	<p>The AME DSS reporting interface, IBM Cognos Query Studio, allows users with little or no training can quickly design, create, and save ad-hoc queries and reports to meet reporting needs. User can design reports specifically for their needs and select their specified data fields. In Cognos Query Studio, users can:</p> <ul style="list-style-type: none"> • View data: Connect to a data source to view data in a familiar, easy to use Microsoft Windows-type tree hierarchy and expand the query subjects to see query item details. • Create reports: Use the data source to create reports, which can be saved and reused. Users can also create a new report by opening an existing report, changing it, and saving it using another name • Change the appearance of reports: Improve the layout of a report. For example, users can create a chart, add a title, specify text and border styles, or reorder columns for easy comparison. • Work with data in a report: Use filters, summaries, and calculations to compare and analyze data. Drill up and drill down to view related information. • Execute reports: Reports are run immediately instead of having to wait for a scheduled report to run or having to run them in a background process 	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
DSSSS3.46	Obtain user defined reports or formatted canned reports from MARS on an established ad hoc basis.	Y	A	3/19/2013	Attachment G2, Section 4.2	<p>We will deliver our contemporary and MITA-aligned program management subsystem, IMARS. This subsystem will include the production of MAR reports as well as required CMS reports, and MSIS data feeds and supporting reports. Developed using Cognos Business Intelligence tools, IMARS reporting goes beyond the production of the mandated federal reporting – and includes extensive drill-down/drill-through capabilities to understand the underlying claim/provider/member details that make up the summary totals. In addition, IMARS provides tools that allow the user to not only easily view the details behind aggregate totals, but to also select a subset of data instead of viewing an entire report, and to view pie charts and line charts as well as detail reports.</p> <p>IMARS is a CMS-certifiable financial reporting and analytical component that provides not only reports necessary for CMS certification, but also advanced capabilities to properly manage and oversee the Medicaid program. With the increasing costs of health care delivery and the growing financial burdens that each state faces, the responsibility to effectively control costs takes on a higher level of importance. Optum has continued to refine its analytical focus to meet the dynamic changes in this environment.</p>	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.

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DSSSS3.48	Generate enhanced reports by request within timelines defined by the State (i.e., show expenditures for clients by in-home Provider(s), client, services provided, total expenditures, authorized services, and services paid).	Y	A	3/19/2013	Attachment G2, Section 4.2	<p>The first point of contact for this support is the Optum AME DSS Service Desk. It is important to note that the Optum Service Desk staff will not be just 1st-level call-takers whose main purpose is limited to fielding calls and then re-routing to others to address and resolve questions or problems. AME DSS Service Desk staff are knowledgeable enough to work directly with users from start to finish so that they can address and resolve questions, problems, or issues. In addition, the Service Desk staff will analyze the types of questions they receive, the difficulties with usage that they encounter, and make recommendations for future training enhancements or seminars.</p> <p>The Optum AME DSS Service Desk team will provide a broad spectrum of services to AME DSS users. This will include help for users in:</p> <ul style="list-style-type: none"> • Assistance with query creation for retrieving desired data • Selectively viewing and presenting data • Formatting and saving reports • Developing specialized reports • Developing alternative ways to group, present, or otherwise enhance the understanding of reports and interpreting query results • Provide technical support to users as may be needed to interpret query error messages 	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
DSSSS3.49	Provide Core System data extracts to the State-defined data repositories, warehouses, data marts on a period defined by the State.	Y	A	3/19/2013	Attachment G2, Section 4.2	<p>As with any enterprise-wide data solution, each data architecture component will be analyzed and designed with a cross-Medicaid and cross-functional viewpoint. This includes applying master data management principles in the adoption of standard, cross-enterprise data definitions and schemas. Optum will establish the centralized metadata repository, and develop environments and standards. We will design and deploy data sharing mechanisms as appropriate, including data sharing repositories and registries. Such mechanisms will be in the form of data extracts, external stakeholder use of selected AME DSS components, select access to selected data stores, and/or secured integration other data repositories.</p> <p>The data sharing process also includes the application of rules around what data can be shared, to whom, and in what form. This piece of information comes from the actual owners of the data: the varying departments of the State's Medicaid program or external data suppliers. Data ownership policies and procedures (including data semantics and integration strategies) will be established and maintained by Optum and the State.</p>	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
FDC1	Provide Fraud Detection Tools.	Y	A	3/19/2013	Attachment G2, Sections 3.1.4, 3.1.6. and 3.1.7	The IFADS includes tools that detect improper payments due to fraud, waste, abuse, or error. The Optum AME DSS also provides additional functionality to detect fraud and other improper payments and can support the IFADS investigation whenever needed.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
FDC1.1	Identify aberrant Provider utilization activity based on criteria defined by the State.	Y	A	3/19/2013	Attachment G2, Sections 3.1.4, 3.1.6. and 3.1.7	IFADS identifies aberrant provider activity based on criteria defined by the State or by our use of proven analytics with our other Medicaid program integrity clients.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.

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FDC1.2	Identify aberrant Member utilization activity based on criteria defined by the State.	Y	A	3/19/2013	Attachment G2, Sections 3.1.4, 3.1.6. and 3.1.7	IFADS identifies aberrant member activity based on criteria defined by the State or by Optum's use of proven analytics with our other Medicaid program integrity clients. Aberrant member activity results from improper provider activity (fraud) in their billing. IFADS and the DSS can easily identify improper member behavior including, doctor shopping, drug diversion, sharing of the Medicaid ID card, abusive use of the emergency room or other medically unnecessary services.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
FDC1.4	Report any data residing in claims history based on parameters defined by the State.	Y	A	3/19/2013	Attachment G2, Sections 3.1.4, 3.1.6. and 3.1.7	Optum will report any data residing in claims history based on parameters defined by the State.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
FDC1.5	Produce statistical profiles summarizing information on claims history submitted by each Provider over a specified period of time.	Y	A	3/19/2013	Attachment G2, Sections 3.1.4, 3.1.6. and 3.1.7	IFADS and the DSS will produce statistical profiles for providers for a specified period of time that summarize information on claims histories submitted by providers.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
FDC1.6	Produce statistical profiles summarizing information on claims history for each Member over a specified period of time.	Y	A	3/19/2013	Attachment G2, Sections 3.1.4, 3.1.6. and 3.1.7	IFADS and the DSS will produce statistical profiles for members for a specified period of time that summarize information on claims histories that result from claims submitted by providers for those members.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
FDC1.7	Classify Members into peer groups using criteria such as (but not limited to) age, sex, living arrangement, geographic region, aid category, agency origin, special programs indicator, fund category, case-mix index, and LTC indicator for the purpose of developing statistical profiles.	Y	A	3/19/2013	Attachment G2, Sections 3.1.4, 3.1.6. and 3.1.7	IMARS and the DSS can classify members into peer groups using criteria such as age, sex, living arrangement, geographic region, aid category, agency origin, special programs indicator, fund category, case-mix index and LTC indicator for the purpose of developing statistical profiles.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.

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FDC1.8	Classify Providers into peer groups using criteria such as category of service, Provider type, specialty, type of practice or organization, enrollment status, facility type, geographic region, billing versus performing Provider, and size for the purpose of developing statistical profiles.	Y	A	3/19/2013	Attachment G2, Sections 3.1.4, 3.1.6. and 3.1.7	IFADS and the DSS can classify providers into peer groups using criteria such as category of service, provider type, specialty, type of practice or organization, enrollment status, facility type, geographic region, billing versus performing provider and size for the purpose of developing statistical profiles.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
FDC1.9	Classify treatment into peer groups, by diagnosis or range of diagnosis codes, level of care, or other methodology for the purpose of developing statistical profiles.	Y	A	3/19/2013	Attachment G2, Sections 3.1.4, 3.1.6. and 3.1.7	IFADS and the DSS can classify treatment into peer groups by diagnosis or a range of diagnosis codes, level of care or other methodology for the purpose of developing statistical profiles. The SURS component of IFADS has great strength in this area.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
FDC1.10	Report all claims and specialty referral data, as well as perform exception processing.	Y	A	3/19/2013	Attachment G2, Sections 3.1.4, 3.1.6. and 3.1.7	IFADS and the DSS can report all claims and specialty referral data, as well as perform exception processing.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
FDC1.11	Detect and establish normative benchmarks for use, cost, and treatment patterns based on criteria approved by the State.	Y	A	3/19/2013	Attachment G2, Sections 3.1.4, 3.1.6. and 3.1.7	IFADS and the DSS can detect and establish normative benchmarks for use, cost and treatment patterns based on criteria approved by the State.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
FDC1.12	Detect potential fraud or abuse by using appropriate statistical comparisons approved by the State.	Y	A	3/19/2013	Attachment G2, Sections 3.1.4, 3.1.6. and 3.1.7	Optum will detect potential fraud or abuse by using appropriate statistical comparisons approved by the State. Please see Proposal Attachment G2, Sections 3.1.4 through 3.1.7 for a complete description of IFADS and its fraud detection capabilities.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.

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FDC1.13	Provide alternative report parameters and maintain an indexed library of such report parameters.	Y	A	3/19/2013	Attachment G2, Section 3.1.6	Optum will provide alternative report parameters and maintain an indexed library of such parameters.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
FDC1.15	Identify Members receiving waiver services and report on utilization.	Y	A	3/19/2013	Attachment G2, Section 3.1.6	IFADS and the DSS will identify members receiving waiver services and report on utilization. We propose working with State during the design phase to identify beneficiary, service, provider and claims variables that identify members receiving services from the different State waivers. Optum staff will design and build into Cognos meta layer identifiers calculated from these variables that allow easy identification of members receiving waiver services and which waiver services they are receiving.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
FDC1.16	Track referral processing to bring data on services ordered by a physician or case manager/gatekeeper into the referring Providers' profiles.	Y	A	3/19/2013	Attachment G2, Sections 3.1.4, 3.1.6. and 3.1.7	Optum will track referral processing to bring data on services ordered by a physician or case manager/gatekeeper into the referring provider's profiles.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
FDC1.17	Produce profiles for group billers and individual rendering Providers separately.	Y	A	3/19/2013	Attachment G2, Sections 3.1.4, 3.1.6. and 3.1.7	Optum will produce profiles for group billers and individual rendering providers separately by creating objects in the Cognos meta-layer that identify groups of providers by group billers versus individuals. Optum business analysis staff will work with the State staff to identify profile variables. Optum staff will run queries, reports, or cubes to meet the State's need for profile presentations.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
FDC1.18	Produce lists of Providers and Members who exceed program norms, ranked in order of severity.	Y	A	3/19/2013	Attachment G2, Section 3.1.6	The SURS component of IFADS will produce lists of providers and members who exceed program norms. SURS ranks the order of severity and the data can be easily drilled into to see the claims that indicate aberrant providers and members. Please see Proposal Attachment G2, Section 3.1.6 for an overview of the SUR component of IFADS.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
FDC1.19	Apply weighting and ranking to exception report items to facilitate the identification of those with the highest exception ranking.	Y	A	3/19/2013	Attachment G2, Sections 3.1.4, 3.1.6. and 3.1.7	The SURS component of IFADS will apply weighting and ranking and create exception report items to facilitate identifying those providers/members with the highest exception rating. The SURS component produces lists of providers and members who exceed norms. SURS ranks all in the order of severity and the data can be easily drilled into to see the claims that indicate aberrant providers and members.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.

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FDC1.21	Maintain a parameter-driven control file that allows the Program Integrity analysts to specify data extraction criteria, report content, parameters, and weighing factors necessary to properly identify aberrant situations.	Y	A	3/19/2013	Attachment G2, Sections 3.1.4, 3.1.6. and 3.1.7	The SURS component of IFADS supplies a simple to use parameter-driven control file that allows program integrity analysts to specify data extraction criteria, report content, parameters and weighing factors necessary to properly identify aberrant situations. Proposal Attachment G2, Section 3.1.6 includes an overview of the SURS component of IFADS.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
FDC1.22	Support a user-specified, parameter-driven control system with ad-hoc reporting capabilities based on business rules approved by the State.	Y	A	3/19/2013	Attachment G2, Sections 3.1.4, 3.1.6. and 3.1.7	The SURS component of IFADS supplies user specified, parameter-driven control systems with ad hoc reporting capabilities based on business rules approved by the State. Proposal Attachment G2, Section 3.1.6 includes an overview of the SURS component of IFADS.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
FDC1.23	Provide a reporting function that contains these features: 1. Weighting and ranking of exceptions 2. Narrative descriptions of procedures, drugs, and diagnoses on reports 3. Extensive use of claim data elements for summary item definition 4. Definition of unique report groups for every user-defined category of service 5. Available number of summary items per report category 6. User-specified selection, summarization, and non-duplication criteria for claim details	Y	A	3/19/2013	Attachment G2, Sections 3.1.4, 3.1.6. and 3.1.7	IFADS contains a reporting function that contains the features required by the State including: <ul style="list-style-type: none"> • Weighting and ranking of exceptions • Narrative descriptions of procedures, drugs and diagnoses on reports • Using claim data elements for summary item definition • Defining unique report groups for every user-defined category of service • Available number of summary items per report category • User-specified selection, summarization and non-duplication criteria for claim details 	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.

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FRSS4.3	Provide interface with Federal systems for automated reporting and data sharing.	Y	A	3/19/2013	Attachment G2, Sections 3.1.8 and 3.1.9	IMARS reports can be scheduled to generate via the Cognos scheduler or from the IMARS report portal.	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
FRSS4.5	Provide interfaces to the State program offices' data.	Y	A	3/19/2013	Attachment G2, Sections 3.1.8 and 3.1.9	IMARS reports can be scheduled to generate via the Cognos scheduler or from the IMARS report portal.	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
FRSS4.5.1	Provide interfaces to Federal data repositories (e.g., CMS 372, CMS-64, and CMS-21 reports).	Y	A	3/19/2013	Attachment G2, Sections 3.1.8 and 3.1.9	IMARS reports can be scheduled to generate via the Cognos scheduler or from the IMARS report portal.	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
FRSS4.6	Provide data to support the production of CMS-21, CMS-21b quarterly estimates and expenditure reports, the pharmacy report sent to CMS, and Statistical Enrollment Data System (SEDS).	Y	A	3/19/2013	Attachment G2, Sections 3.1.8 and 3.1.9	All claims data required for accurate IMARS reporting will be transferred and balanced into the IMARS data tables.	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
MARS1.3	Merge adjudicated claims data, including adjustments, received from the outgoing Respondent to ensure all MAR reports are complete and accurate.	Y	A	3/19/2013	Attachment G2, Sections 3.1.8 and 3.1.9	All claims data required for accurate IMARS reporting will be transferred and balanced into the IMARS data tables.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
MARS1.6	Maintain ability to add new COS types and category of LTC and TPL recoupments separately from other collections, eligibility or change existing ones in all MAR reports.	Y	A	3/19/2013	Attachment G2, Sections 3.1.8 and 3.1.9	COS types and category of LTC and TPL recoupments are not defined within IMARS reporting as these data values come from the source system. All values of critical data codes, categories, types, etc. are transferred to the IMARS data tables from the source system without exception.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.

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MARS1.8	Provide one online file containing up-to-date summary information on the number and categories of Providers, Members, and services, updated monthly.	Y	A	3/19/2013	Attachment G2, Sections 3.1.8 and 3.1.9	The IMARS processing calculates counts of distinct providers, members and units of service and stores this data in report summary tables as needed to support the IMARS reports each month.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
MARS1.9	Generate federal statistical reporting in accordance with Federal format and data requirement standards.	Y	B	3/19/2013	Attachment G2, Sections 3.1.8 and 3.1.9	The IMARS product provides the following list of CMS reports: <ul style="list-style-type: none"> • CMS 21 • CMS 64.9 Base • CMS 64.9A • CMS 64.9 Waiver • CMS 64.21U • CMS 372S and CMS 372X (depending on the State specific waivers) • CMS 416 • CMS 37.7 	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
MARS1.15	Maintain appropriate controls and audit trails to ensure that the most current data is used in all financial reports.	Y	A	3/19/2013	Attachment G2, Sections 3.1.8 and 3.1.9	The successful completion of the ETL process is verified via an automated balancing procedure.	Project Monitoring, and Systems Integration Test (SIT) described in Optum's TEMP.
MARS1.17	Maintain appropriate controls and audit trails to ensure that the most current MAR data is used in all processes relying on the MAR data repository.	Y	A	3/19/2013	Attachment G2, Sections 3.1.8 and 3.1.9	The ETL balancing process ensures all claims, member and provider data needed for accurate IMARS is complete and accurate.	Project Monitoring, and Systems Integration Test (SIT) described in Optum's TEMP.
MARS1.30	Support automated retroactive changes that are user driven (e.g., changes in funding match, rate changes).	Y	A	3/19/2013	Attachment G2, Sections 3.1.8 and 3.1.9	All claims adjustments are passed into the IMARS data tables from the source system.	Project Monitoring, and Systems Integration Test (SIT) described in Optum's TEMP.
MARS1.31	Ensure that retroactive changes do not change closed totals, retain and reflect revised totals.	Y	A	3/19/2013	Attachment G2, Sections 3.1.8 and 3.1.9	IMARS summary data is fixed as of each monthly process. Subsequent adjustments only apply to the time of their occurrence.	Project Monitoring, and Systems Integration Test (SIT) described in Optum's TEMP.

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
MARS1.32	Establish and update all financial transactions and data based on business rules approved by the State.	Y	A	3/19/2013	Attachment G2, Sections 3.1.8 and 3.1.9	All claims data required for accurate IMARS reporting will be transferred and balanced into the IMARS data tables.	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
OFAO1.30	Maintain and operate a Replacement DSS System that meets the most recent Federal Program Integrity (PI) requirements.	Y	A	3/19/2013	Attachment G2, Section 3.1.4 through 3.1.7	IFADS, as described in Proposal Attachment G2, Sections 3.1.4.2 through 3.1.7.2, will meet all current Federal Program Integrity Checklist requirements. It will also be supplemented by episodes of care information stored in the AME DSS and available to IFADS. Our IFADS solution has received CMS certification in Washington State and the District of Columbia.	Certification Readiness Test, Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
OFAO1.31	Train the State staff on the use of the Replacement DSS System PI reporting system, initially and on an ongoing basis or as requested by the State.	Y	A	3/19/2013	Attachment G2, Section 3.1.4 through 3.1.7	We will train State staff on the use of IFADS which includes the program integrity reporting system. Training will be provided initially and on an ongoing basis or as requested by the State.	Project Monitoring
OFAO1.32	Provide technical assistance as needed to assist the State users in researching problems, reviewing reports, establishing report parameters, and analyzing PI data.	Y	A	3/19/2013	Attachment G2, Section 3.1.4 through 3.1.7	The IFADS team will provide technical assistance as needed to assist the State users in researching problems, reviewing reports, establishing report parameters and analyzing program integrity data.	Project Monitoring
OFAO1.33	Advise the State of any changes needed in the PI business area or functions to correspond to changes made to other Replacement Core System functions.	Y	A	3/19/2013	Attachment G2, Section 3.1.4 through 3.1.7	The IFADS team will advise the State of any changes needed in the program integrity business area or functions to correspond to changes made to other Replacement Core System functions.	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
OFAO1.34	Make recommendations on any area where the Contractor can make improvements.	Y	A	3/19/2013	Attachment G2, Section 4.2	Optum will make recommendations on any area where the Contractor can make improvements. In the FADS area, we have held a user's meeting at NAMPI ever year for the past 11 years bringing together all the Medicaid FAD/SUR users and sharing beneficial practices and projects. The manuals for these sessions are archived and part of the FADS we will bring to Arkansas PI. Leveraging all Medicaid programs to bring new improvements is a routine service to all Optum customers.	Project Monitoring
OFAO1.35	Provide assistance to the State in researching discrepancies.	Y	A	3/19/2013	Attachment G2, Section 4.2	Optum will provide assistance to the State in researching discrepancies.	Project Monitoring
OFAO1.36	Perform corrective actions as directed by the State.	Y	A	3/19/2013	Attachment G2, Section 4.2	Optum will provide corrective actions as directed by the State.	Project Monitoring
OPER1.102	Respond to the State requests for external data sharing projects within two State work days of receipt of the request.	Y	A	3/19/2013	Attachment G2, Section 4.2	Optum will respond to the State requests for external data sharing projects within two State work days of receipt of the request.	Project Monitoring
OPER1.103	Establish interoperability protocols with data sharing parties.	Y	A	3/19/2013	Attachment G2, Section 4.2	Optum will work with the Core Contractor and other entities that share data with the AME DSS to establish interoperability protocols. Optum will use the Informatica PowerCenter Advanced ETL software to extract and load data for the AME DSS solution. It provides management, control, and collaboration capabilities. By using Informatica PowerCenter Advanced ETL, the State will: <ul style="list-style-type: none"> • Achieve broader data governance and verify regulatory compliance by providing timely, relevant, and trustworthy data • Execute mission-critical data integration initiatives that span the entire enterprise • Accelerate time to delivery and reduce costs by improving cross-functional team collaboration and productivity Informatica PowerCenter software is highly scalable, high-performance enterprise data integration software. It accesses and integrates data from virtually any business system, in any format and delivers that data throughout the enterprise. With Informatica PowerCenter, Optum can implement a single approach to accessing, transforming and delivering data without hard coding. Informatica PowerCenter scales to support large volumes of data over multiple concurrent sessions. Meeting demands for security and performance, this software is used across a wide spectrum of data integration initiatives, including data warehousing and data migration and data conversion.	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)

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OPER1.104	Conduct tests and produce test results of data sharing protocols.	Y	A	3/19/2013	Attachment G2, Section 4.2	We will utilize TechExcel Inc.'s DevTest testing management software to managing testing process, create and maintain test scenarios and test cases and produce test results of data sharing protocols. Source-to-target validation, balancing and frequency analysis tests will be performed to verify the accuracy of data sharing processes and protocols.	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
OPER1.105	Test for appropriate security and communications procedures.	Y	A	3/19/2013	Attachment G2, Section 4.2	Optum will conduct detailed security testing according to the Security and Privacy plan to verify security and communication procedures. Proposal Attachment G1, Section 4.1.2.4 Security and Privacy Plan includes additional details on our security procedures.	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
PAY2.61	Track utilization management activities and case tracking or links to associated documentation to include: 1. Reviews 2. Investigations 3. Actions Taken 4. Associated Contact 5. Referrals 6. Recoupments	Y	A	3/19/2013	Attachment G2, Section 3.1.4	IFADS includes a comprehensive Case Tracking component that meets all required functionality and gives staff the ability to track reviews and investigations, document actions taken, contacts, referrals, appeals and recoupments. Figure 4-16 demonstrates the detailed level information that is captured and tracked as part of each case. A complete description of the IFADS Case Tracking component is included in Proposal Attachment G2, Section 3 Services Requirements, Section 3.1.5.	User Acceptance Testing (UAT) as described in Optum's TEMP.
PAY3.37	Flag all services, premiums, and capitation rates that were paid since the last time payment history was retrieved and analyzed.	Y	A	3/19/2013		The IBM Cognos BI software can filter reporting by any criteria contained within the AME DSS. These criteria can include data ranges from when the previous payment history was reported. The criteria can be easily applied to reporting for services, premiums and capitation rates.	User Acceptance Testing (UAT) as described in Optum's TEMP.
PISS2.10	Identify Members and related Providers receiving services from other states. (CMS Initiative).	Y	A	3/19/2013	Attachment G2, Section 3.1.7	Dependent on the availability of the other State data, Optum can identify members and related providers receiving services from other states.	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
PISS2.12	Provide tools that allow comparisons in utilization review between institutional and community care and aberrations outside median service delivery.	Y	A	3/19/2013	Attachment G2, Section 3.1.7	The SURS component of the IFADS solution, as described in Proposal Attachment G2, Sections 3.1.4.2 through 3.1.7.2, provides tools that allow comparisons in utilization review between institutional and community care and aberrations outside median service delivery.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.

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PISS2.14	Ensure that PHI remains secure and accessible by individuals who are permitted to have access to that information.	Y	A	3/19/2013	Attachment G2, Section 4.2	All PHI will remain secure and accessible only by individuals permitted to have access to that information.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
PISS2.15	Include in web portal complaint reporting function a form to complete required information (name, address, date of birth, etc.)	Y	A	3/19/2013	Attachment G2, Section 3.1.7	People will be able to make fraud complaints through a web based portal and include all required data	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
PISS2.16	Provide capability to aggregate information for diagnosis, patients, age groups, etc.	Y	A	3/19/2013	Attachment G2, Section 4.2	IFADS provides the capability to aggregate information for diagnosis, patients, age groups, etc.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
PISS3.17	The system must store and retrieve Program Integrity history data for ten years.	Y	A	3/19/2013	unknown as not in G3	Preferred solution would be FADS on fewer years with access to 10 years accomplished on the DSS. All history will be available and FADS will run faster and cost less.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
PISS3.18	Centralize all information on Members, Providers, and claims in one location.	Y	A	3/19/2013	Attachment G2, Section 3.1.4 through 3.1.7	IFADS centralizes all information on members, providers and claims in one location and makes it easily accessible to staff who want Excel-like access to claims and provider/member data.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
PISS3.19	Provide the ability to update information real-time with standards applied to each data element.	Y	A	3/19/2013	Attachment G2, Section 4.2	IFADS and the DSS use post payment information (paid claims, member data and provider data). IFADS can be updated but we are unsure what information the Agency intends to update real-time with standards applied to each data element. IFADS does not change claim data or other data resident in the MMIS Core or AME DSS.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
PISS4.4	Provide an automated system that communicates the results of investigations on part of the State PI or Developmentally Delayed Services (DDS) QA Licensure department.	Y	A	3/19/2013	Attachment G2, Section 3.1.5	The IFADS Case Tracking component provides an automated system that has the capability to communicate the results of investigations on part of the State PI or Developmentally Delayed Services (DDS) QA Licensure department. In order to accomplish this, the recipients would have to be given access with defined security levels for what they need to see. The Case Tracking component also permits emailing of results which may be preferred by the State PI.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.

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PISS4.5	Implement a COTS product for a profiler that can interface with all agencies, departments, and divisions.	Y	A	3/19/2013	Attachment G2, Section 3.1.6	IFADS is a COTS product with a profiler that can interface with all agencies, departments and divisions. Like any COTS product it requires adjustment to the data sources when they are not standard.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
PISS4.6.1	Generate specific SURS reports within two State work days. Unique SURS reports are those that require technical input for design and execution and may require use of historical data or reconciliation of data sources.	Y	A	3/19/2013	Attachment G2, Section 3.1.6	Based on the size of the project (years and number of claims), The SURS component of IFADS generates specific SURS reports within two State work days and more often well under that. Some queries may be done in hours and some overnight. Optum understands that unique SURS reports are those that require technical input for design and execution and may require use of historical data or reconciliation of data sources.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
PISS4.7	Provide Provider reconciliation report of claim activity by end-user-defined time period to payment to see every claim reported and voided.	Y	A	3/19/2013	Attachment G2, Sections 3.1.4 through 3.1.7	Optum will create a provider reconciliation report in the AME DSS using Cognos. The report will be built as a parameter driven report that allows users to input the study time frame and to select all or subsets of claim types or providers. We have routinely built this kind of report for our other Medicaid DSS clients.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
PISS4.8	Include an index for an electronic document management system to access RAs by financial paid date.	Y	D	3/19/2013	Attachment G2, Sections 3.1.4 through 3.1.7	Optum will include an index for an electronic document management system to access remittance advices (RAs) by financial paid date.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
PISS4.9	Provide staff with Program Integrity DSS Component expertise to support end- users and to assist with training.	Y	A	3/19/2013	Attachment G2, Sections 3.1.4 through 3.1.7	Optum will provide staff with program integrity DSS component expertise to support end- users and to assist with training. While IFADS will meet most of PI's needs, there may be times when additional information needs to be brought in to finalize a project.	Project Monitoring
PISS4.14	Provide alerts that communicate the results of investigations on part of the State Program Integrity or DDS QA Licensure Department.	Y	A	3/19/2013	Attachment G2, Section 3.1.4	IFADS will permit the PI staff to provide alerts that communicate the results of investigations on part of the State Program Integrity or DDS QA Licensure Department. Because of the confidentiality of a program integrity investigation, we prefer the client to control release of investigative results outside the agency to validate that there is no breach of information.	User Acceptance Testing (UAT) as described in Optum's TEMP.

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PISS4.15	Allow access to functionality in the Program Integrity DSS Component for authorized users in all agencies, departments, and divisions.	Y	A	3/19/2013	Attachment G2, Section 4.2	The Security Officer will be responsible for granting access to AME DSS functionality, including the AME DSS Program Integrity component, maintaining the user community list and preventing unauthorized users from gaining access to the AME DSS. The Security Officer only grants access to authorized State agencies with express approval from an authorized DHS representative. Optum believes in the practice of the principle of least privilege by granting users the minimum access rights and privileges required for their job and adopting role-based access controls to manage access rights by job description or responsibility. This ensures users are only allowed to access database objects for which they have been explicitly granted rights, and also protects against the accidental disclosure or loss of data. Users' access rights will be periodically reviewed to ensure that unauthorized privileges have not been obtained and will be immediately dropped or revoked if a user changes jobs or leaves the organization. Role-based access controls will reduce the complexity and cost of security administration in the AME DSS environment by allowing for security management at a level that more closely corresponds to the DHS' structure.	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
CPO1.40	Produce all required Claims Operations Management reports.	Y	A	3/19/2013	Attachment G2, Section 4.2	Optum acknowledges and will comply with this requirement. However, Optum understands that Claims Operations Management reports are typically produced as part of the fiscal agent operations performed by the Core Contractor. Optum will work with the State and Core Contractor to identify data elements to be extracted can be from the Core System to be included in the AME DSS data warehouse to produce the Claims Operations Management reports should the Department wish to produce them through the AME DSS.	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
FRSS4.10	Generate ad hoc reports based upon multiple selection criteria and parameters agreed to by the Department.	Y	A	3/19/2013	Attachment G2, Section 4.2	Optum will customize the AME DSS user interface to provide access to the data elements defined by the State to be included in the AME DSS data warehouse. Users will have the ability to create ad-hoc reports based on the selection criteria and parameters included in the AME DS data warehouse as specified by the State. The design and implementation of the AME DSS user interface will be done in collaboration between Optum, the State, and other applicable stakeholders. Optum will work with the State to make certain that all the key components and requirements for the AME DSS user interface are identified during requirements analysis sessions conducted during the Phase II of the project.	User Acceptance Testing (UAT) as described in Optum's TEMP.
FRSS4.6.1	Create and support electronic Medicaid program statistics reporting to the Federal MSIS.	Y	A	3/19/2013	Attachment G2, Sections 3.1.8 and 3.1.9	IMARS loads all data available from the source system as needed to support designated IMARS State and Federal reporting.	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)

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FRSS4.7	Provide automated interfaces to the State accounting to produce required CMS reports (e.g., CMS 64 and CMS 21).	Y	A	3/19/2013	Attachment G2, Sections 3.1.8 and 3.1.9	IMARS loads all data available from the source system as needed to support designated IMARS State and Federal reporting.	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
PAY3.75	Capture all data necessary to meet the State and Federal reporting requirements.	Y	A	3/19/2013	Attachment G2, Sections 3.1.8 and 3.1.9	IMARS loads all data available from the source system as needed to support designated IMARS State and Federal reporting.	Systems Integration Test (SIT) and Operations Readiness Testing (ORT) as described in Optum's Test and Evaluation Management Plan (TEMP)
PAY4	Provide Accounting and Financial Reporting to include: 1. Assigned bucket listing for managing payment information (CMS-64 report). 2. User-based access to data and reports. 3. User-friendly reports. 4. Ability to respond to queries. 5. Data consistency between data files. 6. A federated payment repository for the State.	Y	A	3/19/2013	Attachment G2, Section 4.2	Optum will work with the State to identify the accounting and financial reporting information to be extracted from the MMIS to provide the required reporting. IBM Cognos BI software will produce the accounting and financial reporting. Other functionality will include: 1. Assigned bucket listing for managed payment information (CMS-64 report - The Medical Assistance Expenditures by Type of Service for the Medical Assistance Program Expenditures and Prior Period Adjustments in this Quarter Report, CMS 64.9, is generated by IMARS. The IMARS design provides parameterization capabilities designed to provide fast response to changes in State or Federal requirements. For example, a subject matter expert can update the Maintenance Assistance/Basis of Eligibility, CMS 64 Type of Service or MSIS Type of Service cross-reference parameters without altering report or extract logic. 2. User-based access to data and reports - The IBM Cognos BI software provides end users the ability to access to data and reports. Data can be extracted by exporting data in a variety of formats, including TXT, CSV and XLS formats. Users can run predefined or create ad hoc reports without any technical or programmer intervention. 3. User-friendly reports - IBM Cognos BI software includes professional report authoring capabilities that are easier to use and that help minimize the effort for report authors. Reporting features are prompt-driven and intuitive and data elements available for reporting are named according to the State's own terminology. 4. Ability to respond to queries - Users can create their own impromptu ad hoc queries or customize existing reports. Collaborative reporting features built into IBM Cognos BI software	Project Monitoring, Systems Integration Test (SIT), Operations Readiness Testing (ORT) and User Acceptance Testing (UAT) as described in Optum's TEMP.
PAY4.3	Provide a weekly, monthly, and quarterly receivable report reflecting activity on all receivables for a given time period, including recoupments from claims payments that were used to satisfy a receivable.	Y	A	3/19/2013	Attachment G2, Section 4.2	Optum will work with the State to identify the requirements for receivables reporting. The receivables information that is extracted from the MMIS will be stored in the Optum AME DSS and reported on using the IBM Cognos BI software. This software can schedule reports to run on a frequency defined by the State, including weekly, monthly and quarterly.	Project Monitoring, Systems Integration Test (SIT), Operations Readiness Testing (ORT) and User Acceptance Testing (UAT) as described in Optum's TEMP.

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PAY4.3.1	Calculate funding sources correctly and provide audit trail of the transactions.	Y	A	3/19/2013	Attachment G2, Section 4.2	Optum will work with the State to define the calculations for funding source using information from the MMIS and to load and store data in the AME DSS along with documentation of queries created and executed so that there is an audit trail of transactions.	Project Monitoring, Systems Integration Test (SIT), Operations Readiness Testing (ORT) and User Acceptance Testing (UAT) as described in Optum's TEMP.
PAY4.3.2	Produce a detailed audit trail with sufficient detail to identify the source of all accounts receivable transactions.	Y	A	3/19/2013	Attachment G2, Section 4.2	Optum will work with the State to identify the accounts receivable transaction data to be extracted from the MMIS, including the audit trail information to define the source of the transactions.	Project Monitoring, Systems Integration Test (SIT), Operations Readiness Testing (ORT) and User Acceptance Testing (UAT) as described in Optum's TEMP.
PAY4.4	Include ad hoc reporting capability for the TPL program that allows the following: 1. Provide a web-based ad hoc query tool to allow a TPL authorized user to customize a report based on Core System production TPL data via real-time access and generate those reports at a level of detail and functionality approved by the Department. 2. Attach labels to data elements for queries, extracts, and result sets for quick reference. 3. Join tables and split data elements from all areas of the Core System as defined by the Department. 4. Sort and revise the result set by	Y	A	3/19/2013	Attachment G2, Section 4.2	Optum will provide an ad hoc reporting capability for the TPL program that meets the following requirements: 1. A Web-based ad hoc query tool to allow a TPL authorized user to customize a report based on Core System production TPL data via real time access and generate those reports at a level of detail and functionality approved by the State. IBM Cognos BI software will provide ad hoc reporting capabilities for the Optum AME DSS solution. Authorized users can create the report using any data within the AME DSS extracted from the MMIS and can be reported at any level of detail. 2. Attach labels to data elements for queries, extracts and result sets for quick reference – IBM Cognos BI software provides the ability to change labels for data elements in queries and extracts, which carries through to result sets. 3. Join tables and split data elements from all areas of the Core System as defined by the State – Optum will work with the State to determine the design for the data model to be used for the AME DSS. Optum's use of the Informatica PowerCenter ETL software provides the ability to easily accommodate the data warehouse design requirements to join tables or split data elements from all areas of the Core System as required. 4. Sort and revise the result set by either revising the selection criteria or manipulating the result set – The IBM Cognos BI software allows complete flexibility to define selection criteria according to user's needs. AME DSS users can define selection criteria by including specific fields and entering the values that they are looking for. The IBM Cognos BI software provides several operator types to determine how to select the data including =, <>, <, <=, >, >=, IN which shows all values or strings specified, NOT IN which shows all values apart from the ones specified, BETWEEN which shows all values within the specified range, LIKE where users can you can use wild cards to search for similar strings or values and NOT LIKE which shows all test values except the specified criteria. 5. Allow for extracting query results and reports into formats approved by the State including but not limited to Microsoft (MS) Excel, MS Access, MS Word, other database software and text	Project Monitoring, Systems Integration Test (SIT), Operations Readiness Testing (ORT) and User Acceptance Testing (UAT) as described in Optum's TEMP.
PAY4.6	Display all financial reports in a readable format, printed, or electronically transmitted as a data file to another automated system.	Y	A	3/19/2013	Attachment G2, Section 4.2	Optum will work with the State to develop the financial reports in a readable format defined by the State, printed, or electronically transmitted as a data file to another automated system.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.

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PAY4.6.1	Reports must be displayed with hyperlinks to the reports available.	Y	A	3/19/2013	Attachment G2, Section 4.2	Standard reports that have been completed are available for review and displayed with hyperlinks.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
PAY4.7	Maintain a catalog/listing of standard financial reports that can be reviewed and retrieved by users based on authorized access (i.e., RBAC).	Y	A	3/19/2013	Attachment G2, Section 4.2	The IBM Cognos BI software provides users a list of standard reports to which they are authorized to access. The report includes documentation regarding the purpose and usage of the report. Users can only access report to which they have given permission either individually or by user role through security definitions established in the IBM Cognos BI when the report is developed.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
PAY4.8	Provide predefined financial reports on a schedule to be determined by the State.	Y	A	3/19/2013	Attachment G2, Section 4.2	Optum will work with the State to define the required financial reports. Reports can be scheduled to run on any frequency determined by the State, including daily, weekly, monthly, quarterly, day of the week, or day of the month.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
PAY4.10	Provide financial business area reports that can: 1. Be run on demand in real time or queued for off hours processing. 2. Print to any printer accessible to the user's work station. 3. Export to text file, State-standard spreadsheet, and Adobe PDF formats. 4. Allow authorized users to create queries with narrow or special selection parameters.	Y	A	3/19/2013	Attachment G2, Section 4.2	The IBM Cognos BI software provides complete flexibility to create, execute and output reports, including: 1. Creating reports on demand in real time or queued for off hours processing 2. Printing to any printer accessible to the user's work station 3. Exporting to text file, State-standard spreadsheet and Adobe PDF formats 4. Allowing authorized users to create queries with narrow or special selection parameters	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.
PAY4.11	Retain financial report outputs for a period consistent with the Record and Data Retention Standards. No reports will be deleted or purged without Department approval.	Y	A	3/19/2013	Attachment G2, Section 4.2	Reports will be retained according the State's requirements.	Project Monitoring, and Systems Integration Test (SIT) and User Acceptance Testing (UAT) described in Optum's TEMP.

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
PAY4.17	Perform necessary corrections, rerun reports, verify accuracy, and distribute or redistribute reports within two State work days of initial problem identification.	Y	A	3/19/2013	Attachment G2, Section 4.2	Optum performs quality of service monitoring and checks with each data load. Data consistency checking and reconciliation of the Optum AME DSS solution with source data will be accomplished during the ETL process with balancing queries and reports developed during the Phase II. The primary comparison will be between records provided and passed through the extraction and transformation process and those records that are loaded into the AME DSS for each load cycle. As part of Optum's project implementation methodology, we will work with the State to develop and implement a data quality assessment plan that will address data quality completeness, validity and reasonableness. In the event that any incorrect data is loaded from the MMIS into the Optum AME DSS, we will perform necessary corrections, rerun reports, verify accuracy and distribute or redistribute reports within two State work days of initial problem identification.	Project Monitoring
PD1.1	Retain the drug file update(s) and report any discrepancies to the State Pharmacy Administrator and Staff.	N/A	N/A	N/A	Attachment G2, Section 4.2	Core System Requirement Removed From Final G2	
PD1.3	Mail Provider memos regarding new edits and criteria, PDL Provider letters, and other notifications as needed for the State pharmacy program.	N/A	N/A	N/A	Attachment G2, Section 4.2	Core System Requirement Removed From Final G2	
PD1.7	Identify and extract drugs that do not have FFP match.	N/A	N/A	N/A	Attachment G2, Section 4.2	Core System Requirement Removed From Final G2	
PD1.8	Update all procedure, diagnosis and modifier data.	N/A	N/A	N/A	Attachment G2, Section 4.2	Core System Requirement Removed From Final G2	
PMSS1.27	Provide systematic sharing of business rules for the edits, audits, and pricing for drugs via medical claims and pharmacy claims.	N/A	N/A	N/A	Attachment G2, Section 4.2	Core System Requirement Removed From Final G2	
PMSS4.16	Establish interface with SSA to verify Member information.	N/A	N/A	N/A	Attachment G2, Section 4.2	Core System Requirement Removed From Final G2	

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
PMSS4.17	Establish interface with SSA to verify Provider information.	N/A	N/A	N/A	Attachment G2, Section 4.2	Core System Requirement Removed From Final G2	
PMSS5.10	Provide automated CMS-372 report.	Y	A	3/19/2013	Attachment G2, Sections 3.1.8 and 3.1.9	IMARS reports can be scheduled to generate via the Cognos scheduler or from the IMARS report portal.	Project Monitoring, Systems Integration Test (SIT), Operations Readiness Testing (ORT) and User Acceptance Testing (UAT) as described in Optum's TEMP.
PMSS5.11	Provide automated CMS-416 (EPSDT) report.	Y	A	3/19/2013	Attachment G2, Sections 3.1.8 and 3.1.9	IMARS reports can be scheduled to generate via the Cognos scheduler or from the IMARS report portal.	Project Monitoring, Systems Integration Test (SIT), Operations Readiness Testing (ORT) and User Acceptance Testing (UAT) as described in Optum's TEMP.
PMSS5.7.2	Generate the CMS-64 on a quarterly basis according to federal guidelines.	Y	A	3/19/2013	Attachment G2, Sections 3.1.8 and 3.1.9	IMARS reports can be scheduled to generate via the Cognos scheduler or from the IMARS report portal.	Project Monitoring, Systems Integration Test (SIT), Operations Readiness Testing (ORT) and User Acceptance Testing (UAT) as described in Optum's TEMP.
PMSS5.9	Provide automated CMS-2082 annual Medicaid reconciliation report.	Y	A	3/19/2013	Attachment G2, Sections 3.1.8 and 3.1.9	In lieu of the 2082 reports, IMARS generates the MSIS files and reports.	Project Monitoring, Systems Integration Test (SIT), Operations Readiness Testing (ORT) and User Acceptance Testing (UAT) as described in Optum's TEMP.
RFSS1.40	Provide a report of all Reference Data Management activity (additions, modifications and deletions) and make it available online.	Y	A	3/19/2013	Attachment G2, Section 4.2	Optum will work with the State to define the reference data within MMIS needed to report on the Reference Data Management activity, such as additions, modifications and deletions. This data will be extracted from the MMIS and stored in the AME DSS. The IBM Cognos BI software will be used to report on the Reference Data Management activity.	Project Monitoring, Systems Integration Test (SIT), Operations Readiness Testing (ORT) and User Acceptance Testing (UAT) as described in Optum's TEMP.
RFSS2.12	Provide budget impact reports for all proposed changes resulting from Federal and State mandates and legislation.	Y	A	3/19/2013	Attachment G2, Section 4.2	IBM Cognos BI Platform provides a trending and scenario modeling capability. This component will serve the AME DSS business users who want to perform top-down and bottom-up analysis, slice and dice data, easily create subsets of their data and compare different levels and dimensions against one another in the same report. It will also serve the AME DSS business users who want to perform what-if analysis (or scenario modeling). The trending and scenario modeling capability provides the ability to develop budget impact reports for all proposed changes resulting from Federal and State mandates and legislation.	Project Monitoring, Systems Integration Test (SIT), Operations Readiness Testing (ORT) and User Acceptance Testing (UAT) as described in Optum's TEMP.

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
RFSS2.13	Provide continuous interrelated statistics in concert with the Management and Administrative Reporting (MAR) function to show how the total health care delivery system and its individual parts are meeting program objectives.	Y	A	3/19/2013	Attachment G2, Section 4.2	<p>With the increasing costs of health care delivery and the growing financial burdens that each state faces, the responsibility to effectively control costs takes on a higher level of importance. Optum has continued to refine its analytical focus to meet the dynamic changes in this environment.</p> <p>The IMARS component of our AME DSS solution will include the production of MAR reports as well as the required MSIS data feeds and supporting reports. Developed using IBM Cognos Business Intelligence products, IMARS reporting goes beyond the production of the mandated federal reporting – and includes extensive drill-down/drill-through capabilities to understand the underlying claim/provider/member details that make up the summary totals.</p> <p>Our AME DSS capabilities work in concert with the MAR function to assist the State by providing a single source of critical information to show how the total health care delivery system and its individual parts are meeting program objectives by:</p> <ul style="list-style-type: none"> • Creating analytic models around population group services needs and expected values. • Analyzing and measuring how the program delivers value to 	Project Monitoring, Systems Integration Test (SIT), Operations Readiness Testing (ORT) and User Acceptance Testing (UAT) as described in Optum's TEMP.
RFSS2.14	Provide management with information to assist in overall program direction and supervision.	Y	A	3/19/2013	Attachment G2, Section 4.2	<p>IMARS is a comprehensive reporting management tool that provides information on program costs, provider participation and member utilization trends and offers management the capability to analyze these historical trends to forecast the impact of policy changes on programs. IMARS reports are designed to assist management and administrative personnel with program direction and supervision by providing statistical information on key program functions to support the decision-making process.</p>	Project Monitoring, Systems Integration Test (SIT), Operations Readiness Testing (ORT) and User Acceptance Testing (UAT) as described in Optum's TEMP.
RFSS2.15	Upon request, assist the State with policy-related items, such as updates to the State Plan, Arkansas Administrative Rules, Arkansas Code, and Provider manuals.	Y	A	3/19/2013	Attachment G2, Section 4.2	<p>Our Policy and Research Division, doing business as The Lewin Group (Lewin), drives Optum's government policy and research consulting activities. Lewin could be engaged by the State to provide assistance with policy-related items, such as updates to the State Plan, Arkansas Administrative Rules, Arkansas Code and Provider manuals.</p>	N/A
RFSS2.16	The Contractor will develop and implement a physician peer review process to review the care provided to Medicaid recipients by medical practitioners for FFS claims.	Y	A	1/28/2013	Attachment G2, Section 4.2	<p>Medical Audit Review Services will provide under subcontract a physicians peer review process for FFS claims.</p>	Project Monitoring

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
RFSS2.17	The Contractor will consult with licensed professionals with specialties in various medical fields to determine medical necessity of Members reviewed by program integrity unit (PIU).	Y	A	1/28/2013	Attachment G2, Section 4.2	Medical Audit Review Services will provide under subcontract a physicians peer review process for FFS claims.	Project Monitoring
RFSS2.18	Provide adequate staff, as determined by the State, with DSS expertise on establishing report parameters, and analyzing data on query report design and execution to end-end-users.				Attachment G2, Section 4.2	Optum will provide the State with a team of highly qualified professionals that has combined business and technical experience in the complete life cycle of data warehouse implementations specific to Medicaid, as well as knowledge of the Arkansas Medicaid program and information systems environment. Ms. Ann Nurenberg, our key Training and Documentation Specialist and our Business Solution Manager Mr. Steve Quaal, as well as others are available to provide expertise on establishing report parameters and analyzing data on query report design and execution to end users.	Project Monitoring
RFSS2.19	Create monthly claim analysis report by three State work days after the close of the month and provide to State.	Y	A	3/19/2013	Attachment G2, Section 4.2	Optum will work with the State to define a claim analysis report to be run on a monthly basis. This report can be run immediately after the data from the month-end close on the MMIS has been completed, but no later than three days after the close of the month.	User Acceptance Testing (UAT) as described in Optum's TEMP.
RFSS2.20	Reconcile and provide a claim analysis report to the State within three State work days of the close of timely filing period for that month, or a period of time selected by the State.	Y	A	3/19/2013	Attachment G2, Section 4.2	The AME DSS, through the IBM Cognos software, provides the ability to easily define a time period of claims data to be included in the claim analysis report. Optum will work with the State to define a claim analysis report that can be run for the timely filing period for a specified month or a time period selected by the State.	User Acceptance Testing (UAT) as described in Optum's TEMP.
FDC1.28	Provide fraud detection capability toolsets to perform the following study job functions:	Y	A	3/19/2013	Attachment G2, Section 3.1.6	FADS SURS Component	User Acceptance Testing (UAT) as described in Optum's TEMP.

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
FDC1.28	<p>1. Study Parameter Snapshot: The engine takes a 'snapshot' of the online Library and Study parameters as they exist at the time that the Job is submitted and saves them in data-mart tables. This enables the User to continue online updating of parameters without regard to the scheduling or execution status of a Job or any other user's Job.</p>	Y	A	3/19/2013	Attachment G2, Section 3.1.6	FADS SURS Component	User Acceptance Testing (UAT) as described in Optum's TEMP.
FDC1.28	<p>2. Study Group Participant Identification: The toolset or engine identifies all of the Providers or Members who met the Data Rule criteria attached to the Study Group or had been included as Forced Participants. The Study verifies that the total number of participants to be included in this Study Group is less than or equal to the maximum number of participants defined for this Study Group type.</p>	Y	A	3/19/2013	Attachment G2, Section 3.1.6	FADS SURS component	User Acceptance Testing (UAT) as described in Optum's TEMP.

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
FDC1.28	3. Behavior Pattern Totals: The toolset or engine scans all of the claims whose First Date of Service falls within the Time Period(s) defined, then counts and accumulates the values for each of the Behavior Patterns used in the Study Group. It also includes Behavior Patterns used for Activity Limits purposes only	Y	A	3/19/2013	Attachment G2, Section 3.1.6	FADS SUR component	User Acceptance Testing (UAT) as described in Optum's TEMP.
FDC1.28	4. Report Item Calculations: Based on the Behavior Pattern totals accumulated in the Study Group Participants and Behavior Pattern Totals, the toolset or engine eliminates from further processing participants that did not meet the Activity Limits for this Study Group. For the remaining participants, the values of their Report Items are calculated. Reporting data, such as the Claims headers and Details associated with the Behavior Pattern Totals may be used to support drilldown capabilities within the reporting application.	Y	A	3/19/2013	Attachment G2, Section 3.1.6	FADS SUR component	User Acceptance Testing (UAT) as described in Optum's TEMP.

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
FDC1.28	5. Behavior Pattern Summary: Combining the individual participants' Behavior Pattern totals, the engine summarizes the Behavior Patterns across the Study Group, by Time Period.	Y	A	3/19/2013	Attachment G2, Section 3.1.6	FADS SURS Component	UAT
FDC1.28	6. Report Item Summary: Combining the participants' values for Report Items, the toolset engine calculates, across the Study Group, Report Item averages, the value of one Standard Deviation, and the upper and lower control limits or exception limits (based either on the default Standard Deviation or any Override Limits set.	Y	A	3/19/2013	Attachment G2, Section 3.1.6	FADS SURS Component	UAT
FDC1.28	7. Study Group Summary: Using Report Item averages, Standard Deviation, and exception limits from Report Item Summary, the toolset or engine performs Exception Processing. This process calculates the Z-score of each Report Item for each participant in each Time Period, and assigns	Y	A	3/19/2013	Attachment G2, Section 3.1.6	FADS SURS Component	User Acceptance Testing (UAT) as described in Optum's TEMP.

Identifier	Requirement Description	Compliant? (Y or N)	Availability Reason (A,B,C,D or N/A)	Date Available	Proposal Reference	Key Features of Solution	Testing Methodology
FDC1.28	an Exception Weight if the Report Item's value exceeds the upper/lower limits.	Y	A	3/19/2013	Attachment G2, Section 3.1.6	FADS SURS Component	User Acceptance Testing (UAT) as described in Optum's TEMP.

Attachment D – Gap Analysis

Optum has proposed tools, solutions, services, and capabilities to meet every requirement of the AME Decision Support System and Services RFP. We have analyzed our response to every requirement and determined if the proposed response is a capability already being delivered or available now or whether it would have to be delivered. Through this analysis we have determined that every proposed tools, solutions, services, and capabilities proposed is currently available and ready. We have documented our response compliance to each requirement in the Requirements Traceability Matrices RTM included as Attachments G1 and G2. We have identified no gaps in Optum’s full compliance to RFP requirements.



**ARKANSAS
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OPTUM™

**Draft
Systems Engineering Management Plan
(SEMP)**

AME Decision Support System

Version 0.0
March 12, 2013

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1 Introduction

2 Compliance

3 Data Center Computing Environments

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4 MITA Framework

5 Approach to Problem Solving and Decision Making

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6 Requirements Traceability Tools and Techniques

7 Risk Management

8 Interface Management and Sequencing

9 Data Management

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10 Project Components Inventory

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OPTUM™

DRAFT
4.1.1.2 Test and Evaluation Management Plan
(TEMP)

AME Decision Support System

Version 0.0

February 28, 2013

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1 Introduction

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3 Testing Dependencies (ref. T21.3)

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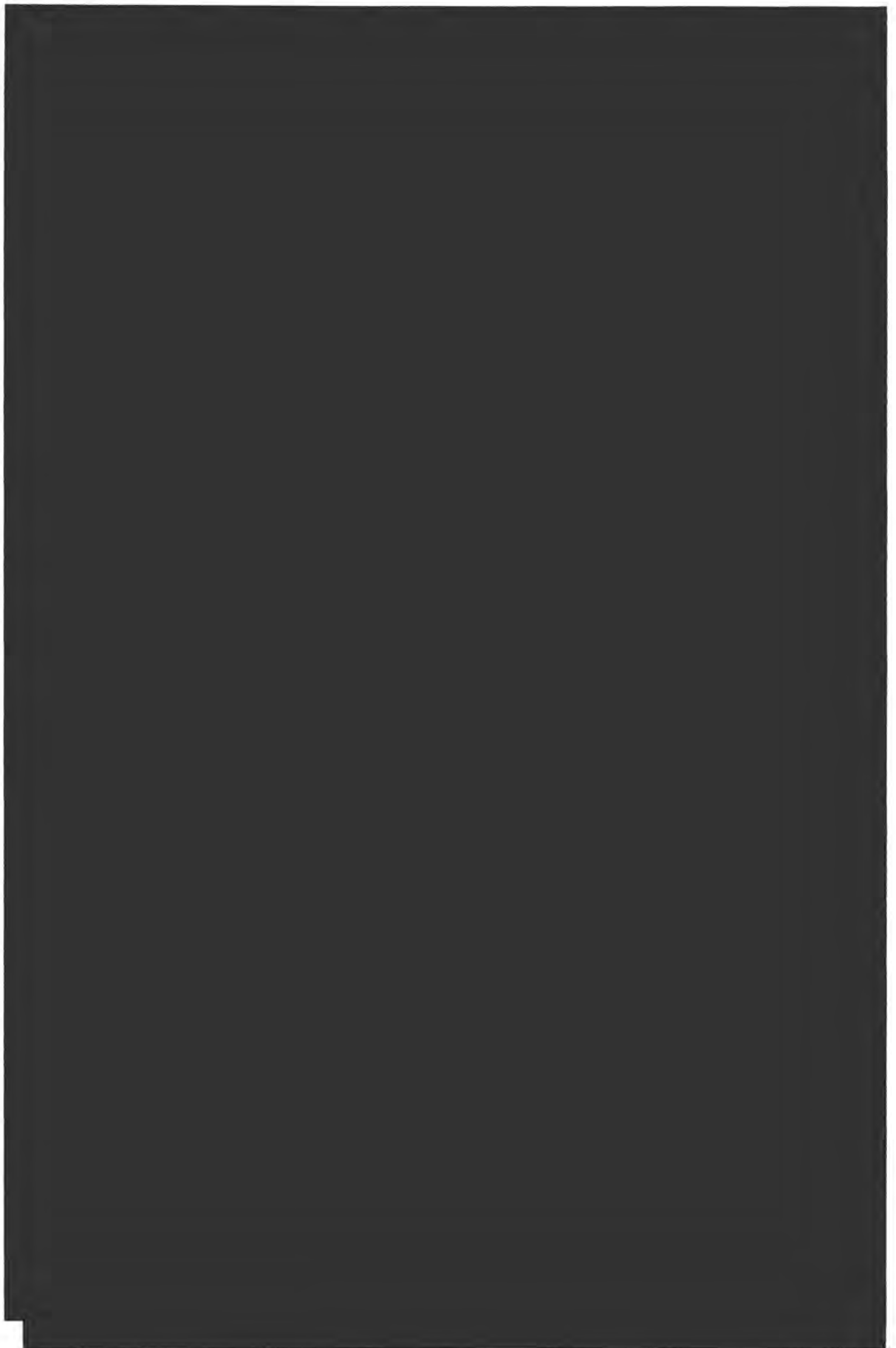
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Appendix A
EQUAL EMPLOYMENT OPPORTUNITY POLICY

(See Attached)

STATEMENT OF POLICY

UnitedHealth Group has a commitment to Equal Employment Opportunity (EEO) and to a work environment free of harassment. The policy of UnitedHealth Group is that people will be employed and promoted on the basis of their individual qualifications for the job and without regard to race, color, creed, public assistance, gender, religion, sexual orientation, national origin, marital status, age, disabilities, genetic information or status as a special disabled Veteran, Veteran of the Vietnam era, other eligible protected veteran, or any other characteristic protected under federal, state or local laws.

UnitedHealth Group will provide:

1. freedom from abusive, intimidating or offensive behavior on the part of supervisors or other employees. In this regard it should be understood that harassment of any sort will not be tolerated and that term includes derogatory ethnic, racial or sexist remarks;
2. freedom from sexual harassment. This refers to behavior which is not welcome, which is personally offensive and which interferes with the work effectiveness of its victims and their co-workers. A separate memorandum on this subject further amplifies the Policy and is distributed to all employees;
3. freedom from any form of discrimination or abusive intimidating or abusive behavior on the part of any supervisor or other employee as a result of a person's sexual orientation;
4. benefits and services as outlined in Company publications; and
5. UnitedHealth Group has written Affirmative Action Plans for 1) minorities and women and 2) individuals with disabilities, Veterans of the Vietnam era, special disabled Veterans, and other eligible veterans.

Anyone with a question about UnitedHealth Group's Equal Employment Opportunity Policy should contact HRdirect at 1-800-561-0861. All concerns will be handled in confidence.

UnitedHealth Group has an approved Affirmative Action Program on file. Upon request, UnitedHealth Group will make available elements of this program in order to enable employees and applicants to know of and avail themselves of its benefits. If you would like to review the Affirmative Action Plan, or need an accomodation, you may contact HR direct at 1-800-561-0861 between the hours of 7:00am and 6:00pm central time, Monday through Friday, or write HR direct Employee Relations at MN082-1000, 5995 Opus Parkway, Minnetonka, MN 55343.

A person's race, religion, gender, sexual orientation, national origin, marital status, age, veteran status or disability must not affect our estimation of their character if we are to achieve the objectives of our business, our society, and our country. These moral and economic reasons for supporting the Company policy of nondiscrimination are to be of primary concern to all employees.



Chris Coleman, Senior Vice President – Employee Relations
February 1, 2012

Appendix B

DFA Illegal Immigrant Contractor Disclosure Certification

DFA Illegal Immigrant Contractor Disclosure Certification View Submission Details

Vendor: Optum Government Solutions, Inc.

Contract Type: Technical/General Services

Bid Number: SP-13-0079

Disclosure Statement: I, certify that we/I do not employ or contract with an illegal immigrant.

Answer: **Yes**

Contact E-mail: Kurt.Ogle@optum.com

Agency Name: Department of Human Services

Submitted At: 02-13-13

Appendix C

Confidentiality Agreement

Confidentiality Agreements signed by each of the individuals designated as Key Personnel for the Optum Proposal, including signatures by the supervisors of such Key Personnel are attached to this Appendix C. All Optum employees and subcontractor staff shall be required to sign the form Confidentiality Agreement and have their supervisors do so as well prior to commencing services for the Arkansas DSS Project.

Confidentiality Agreement

(To be signed by Each Contractor Employee Performing Any of the Contracted Services)

Arkansas's laws contain provisions related to confidentiality of records, lists, and information about applicants/Members and about State employees. These laws, and the penalties for violation, pertain to every Contractor working on the State Projects, at all levels and in any capacity.

As a condition of your continued work for the State, you are required to complete the confidentiality training exercise and sign the certificate verifying that you understand the laws and are aware of the penalties for violation. If at some future date, you have doubts about the legality of an action you may be about to take, ask the respective State project manager for guidance. Any staff working on the Contract is personally and legally responsible for any violation of these laws.

Compliance with State Policy Issuances: The Contractor and subcontractors agree to deliver the services authorized by this Contract or any Attachment in accordance with all policies, manuals and other official issuances of the State of Arkansas and State promulgated through the APA.

Records Retention: The Contractor agrees to retain all records for five years after final payment is made under this Contract or any related subcontract. In the event any audit, litigation or other action involving these records is initiated before the end of the five year period, the Contractor agrees to retain these records until all issues arising out of the action are resolved or until the end of the five year period, whichever is later. The Contractor agrees to retain all protected health information as defined by the Privacy Rule promulgated pursuant to HIPAA for six years or as otherwise required by HIPAA.

Confidentiality of Information: In connection with this Contract, the Contractor will receive certain Confidential Information relating to the State clients. For purposes of this Contract, any information furnished or made available to the Contractor relating to the State clients, the financial condition, results of operation, business, customers, properties, assets, liabilities, or information relating to Members and Providers including but not limited to protected health information as defined by the Privacy Rule promulgated pursuant to the HIPAA of 1996, is collectively referred to as "Confidential Information."

The Contractor **will** comply with all the State policies governing privacy and security of Confidential Information, including the Contracting division's designation of the Confidential Information as required by the Arkansas Data and System Security Classification Standards and **will** implement and maintain reasonable security procedures and practices appropriate to the nature of the Confidential Information as required by ACA § 4-11-104, the Personal Information Protection Act ("the Act").

In addition, the Contractor will disclose any breaches of privacy or security by contacting the Information Technology Security Officer within one business day of the breach by notification to the following e-mail address: dhs-it-security@arkansas.gov

The Contractor **will** treat all Confidential Information which is obtained by it through its performance under the Contract as Confidential Information as required by State and Federal law and **will** not use any information so obtained in any manner except as necessary for the proper discharge of its obligations. The parties acknowledge that the disclosure of Confidential Information in contravention of the provisions hereof would damage the party to whom the information disclosed relates and such party has the right to seek all remedies at law or equity to minimize such damage and to obtain compensation therefore. The Contractor agrees to retain all protected health information as defined by the Privacy Rule promulgated pursuant to HIPAA for six years or as otherwise required by HIPAA.

The Contractor **will** safeguard the use and disclosure of information concerning applicants for or recipients of title XIX services in accordance with 42 CFR Part 431, Subpart F, and **will** comply with 45 CFR Parts 160 and 164 and **will** restrict access to and disclosure of such information in compliance with Federal and State laws and regulations.

For the purposes of this certificate, the term "Contractor" will mean all approved Subcontractors assigned to the Project by the Contractor.

Instructions: Contractor and supervisor **will** sign prior to start of work. Return original to the State Project Manager or designee.

I certify that I have read the foregoing. My signature below means that I understand the provisions of law pertaining to the confidentiality of the State records and information. I also understand that these laws may change from time to time and that it is my responsibility to monitor the laws for changes and review changes as they are adopted.

Name (please print): Steven Grimshaw

Signature: Steven Grimshaw Date: 2/19/13

Supervisor's Signature: Joyce C. John Date: 2/19/13

I certify that I have read the foregoing. My signature below means that I understand the provisions of law pertaining to the confidentiality of the State records and information. I also understand that these laws may change from time to time and that it is my responsibility to monitor the laws for changes and review changes as they are adopted.

Name (please print): Jack Swearingen

Signature: Jack Swearingen Date: _____

Supervisor's Signature: James The Date: 2-14-13

I certify that I have read the foregoing. My signature below means that I understand the provisions of law pertaining to the confidentiality of the State records and information. I also understand that these laws may change from time to time and that it is my responsibility to monitor the laws for changes and review changes as they are adopted.

Name (please print): PAUL CHASEMAN

Signature:  Date: 2-27-13

Supervisor's Signature:  Date: 2-14-13

I certify that I have read the foregoing. My signature below means that I understand the provisions of law pertaining to the confidentiality of the State records and information. I also understand that these laws may change from time to time and that it is my responsibility to monitor the laws for changes and review changes as they are adopted.

Name (please print): Steven H. Quaal

Signature: Steven H Quaal Date: 2/15/2013

Supervisor's Signature: Steven Quaal Date: 2/19/13

I certify that I have read the foregoing. My signature below means that I understand the provisions of law pertaining to the confidentiality of the State records and information. I also understand that these laws may change from time to time and that it is my responsibility to monitor the laws for changes and review changes as they are adopted.

Name (please print): VRINDA DABKE

Signature:  Date: 2-20-2013

Supervisor's Signature:  Date: 2-14-13

I certify that I have read the foregoing. My signature below means that I understand the provisions of law pertaining to the confidentiality of the State records and information. I also understand that these laws may change from time to time and that it is my responsibility to monitor the laws for changes and review changes as they are adopted.

Name (please print): Ann Nurenberg

Signature: Ann Nurenberg Date: 2/13/2013

Supervisor's Signature: Jesse Barnstead Date: 2/13/2013

I certify that I have read the foregoing. My signature below means that I understand the provisions of law pertaining to the confidentiality of the State records and information. I also understand that these laws may change from time to time and that it is my responsibility to monitor the laws for changes and review changes as they are adopted.

Name (please print): ALEXANDR YEVZELMAN

Signature: Alexander Yevzelman Date: 2/22/2013

Supervisor's Signature: Jane Ahe Date: 2-14-13

I certify that I have read the foregoing. My signature below means that I understand the provisions of law pertaining to the confidentiality of the State records and information. I also understand that these laws may change from time to time and that it is my responsibility to monitor the laws for changes and review changes as they are adopted.

Name (please print): SUMMER MOODY, PHARM.D., J.D.

Signature:  Date: 3-1-13

Supervisor's Signature:  Date: 3-1-13

Appendix D

Optum MAR Software License Terms

The Optum MAR federal reporting software product in object code format (the “Optum MAR Software”) shall be licensed by Optum to the State of Arkansas (the “State”) according to the following license terms and conditions:

1. License Grant: Optum grants to the State a perpetual, non-exclusive, non-transferable (except as set forth in this Appendix 1) license to use the Optum MAR Software solely for its own use on the equipment described in Optum’s proposal on which the Optum MAR Software has been qualified for use, as hosted by Optum in the Optum data center (the “Host System”). Upon expiration or termination of the Contract between Optum and the State, the State may transfer the foregoing license to another system either in the State’s data center or the data center of a contractor, provided that the alternate system meets the technical configuration requirements for the Optum MAR Software (the “Alternate System”).

2. Rights and Responsibilities:
 - A. The State may make one (1) copy of the Optum MAR Software solely for backup or archival purposes when resident on the Alternate System and adaptations modifications, supplements, translations or any other changes are not permitted.

 - B. The State agrees:
 - (1) The State has no right, title or interest in the Optum MAR Software, except as expressly set forth in these Optum MARS Software License Terms;
 - (2) To keep confidential the Optum MAR Software containing trade secrets and that this obligation survives termination of the Contract between Optum and the State;
 - (3) Not to redistribute the Optum MAR Software;
 - (4) Not to reverse assemble or decompile the Optum MAR Software in whole or in part;
 - (5) To include copyright or trade secret notices on all copies made of the Optum MAR Software; and
 - (6) That for Optum MAR Software License Fees based on (a) the maximum number of users allowed access or (b) usage, such as the number or size of items stored and/or processed, the State shall not permit use of the Optum MAR Software beyond that authorized by the license fee.

3. Termination: If the State fails to comply with its license obligations regarding the Optum MAR Software and such failure continues for thirty (30) days after receipt of a written notice from Optum, then Optum may terminate the license for the Optum MAR Software and require the immediate return of all copies in any form that the State may have made.

4. Software Services. Optum will perform the following Services for the State for the current version of the Optum MAR Software and one prior version but solely during the

term of the Prime Contract.

A. Generally Available Software Updates and Corrections. Optum shall promptly make available to the State all modifications, updates, error corrections, minor releases, major releases and all related documentation for the Software versions that Optum installs at either the production site referenced in Optum's proposal (i.e., the Optum Data Center in Chaska, Minnesota) (the "Primary Site") and at a disaster recovery site located in Elk River, Minnesota (the "DR Site"), as such Primary Site and/or DR Site may change from time to time during the term of the Prime Contract (the "Sites"). Optum will make minor updates (including error corrections) to the Optum MAR Software as Optum determines is appropriate. Migration to new major releases of the Optum MAR Software will be coordinated with the Customer. Customer shall make a good faith effort to migrate its use to the most current version of the Optum MAR Software within a reasonable timeframe from general availability of such current version.

B. Software Version Support. Optum will support the State in maintenance of the then current release as well as prior releases for a limited time period as indicated in the Optum MAR Software documentation.

5. **Limitation of Liability:** Neither the State nor Optum shall be liable for consequential, indirect or incidental damages, including, without limitation, lost profits, arising out of the Optum MAR Software provided under these IMARS Software License Terms. THIS SOFTWARE LICENSE DOES NOT CONSTITUTE NOR CONTAIN ANY IMPLIED WARRANTIES, INCLUDING, BUT NOT LIMITED TO, THE IMPLIED WARRANTIES OF MERCHANTABILITY AND FITNESS FOR A PARTICULAR PURPOSE. OPTUM DOES NOT WARRANT THAT THE USE OF THE OPTUM MAR SOFTWARE WILL BE UNINTERRUPTED OR ERROR-FREE.

Appendix E

Optum FADS, including Optum SURS and Symmetry Software License Terms

I. License of Software.

A. Description of Software. Optum hereby grants the State of Arkansas (“Customer”) a nonexclusive, nontransferable license to use the following software in object code form (the “Software”). The Symmetry Software includes a nonexclusive license to use the CPT codes embedded therein.

□ **Symmetry Software:**

- **Symmetry Episode Treatment Groups (ETG).** The Symmetry ETG Software is an episode building patient classification system methodology that uses inpatient and ambulatory claims, or other like data, to identify treatment episodes.
- **Symmetry Episode Risk Groups (ERG).** The Symmetry ERG Software predicts and assigns potential risk values to individual members of a health care plan, based in part on a derivative of ETG.
- **Symmetry EBM Connect (Evidence-Based Medicine).** The Symmetry EBM Connect Software is intended to help Customers retrospectively measure and monitor the quality of care provided to its plan members by comparing services captured on medical claims, pharmacy claims and laboratory results data to recognize and establish clinical guidelines.

- **Optum Fraud and Abuse Detection Software (“Optum FADS”)**, including, without limitation, the Optum Surveillance Utilization Review System (Optum SURS) Software. The Optum FADS Software is designed to help customers detect and prevent fraud, waste and abuse in Medicaid and other social services programs. The Optum SURS Software is a suite of claims-based, data mining software applications specifically designed to identify potentially fraudulent and/or abusive practices by both those who provide and receive services in third party health care programs.

B. General License Rights and Limitations.

The following applies to Customer’s license of any Software, unless otherwise noted below:

- (1) As of the Effective Date of these License Terms, Optum grants Customer a nonexclusive, nontransferable license to use the Software by up to twenty (20) users for Customer’s internal use within the United States, pursuant to the terms of this Agreement. References in these License Terms to “users” authorized by the license shall mean each individual accessing the applicable Software in any manner. Customer may use the Software only as permitted in these License Terms, and for no other purposes, with ownership of all Software and all other intellectual property rights in such Software remaining with Optum.
- (2) In the event that Customer wishes to use a third party as its agent to access the Software or a database of Customer Data produced through use of any Software,

such third party must sign an appropriate nondisclosure agreement with Customer agreeing to protect the confidentiality of such information and limiting such third party's use to the support of the Customer as its agent. Customer, however, remains responsible for protecting the confidentiality of the Software and Services it obtains from Optum. Except as permitted by these License Terms, Customer shall have no right to allow any other person or entity to access the Software directly or indirectly in any way.

- (3) Customer shall not (i) copy, reproduce, modify, or excerpt any of the Software for any purpose other than as expressly permitted under these License Terms; (ii) distribute, rent, sublicense, share, assign, give, transfer or lease the Software or any interest in them, to any other person or entity, or use the Software to provide service bureau, rental, timesharing, subscription services, hosting, outsourcing or similar services to third parties; or (iii) attempt to reverse engineer, disassemble, decompile (including reviewing data structures or similar materials produced by the Software) or otherwise obtain copies of the source code for the Software or the identity of individual patients or members, persons, payers, or providers reflected in any data products.
 - (4) Optum shall furnish to Customer access and use rights to only those updates to or new versions of Software that Optum furnishes, without charge, to all other licensees of the Software.
 - (5) Customer shall not publish the results of any benchmark tests run on the Software.
 - (6) Customer shall comply fully with all relevant export laws and regulations of the United States and other applicable export and import laws to assure that neither the Software nor any direct product thereof, are exported, directly or indirectly, in violation of applicable laws.
 - (7) Customer further agrees that none of Optum's suppliers are required to perform any obligations or incur any liability for which there is not a prior agreement between Optum and its supplier.
 - (8) Customer shall permit Optum to audit Customer's use of the Software and shall provide reasonable assistance and access to information in the course of the audit. Customer further agrees to permit Optum to report the results of such audit to Optum's supplier to the extent the audit relates to third party software.
- C. Proprietary Rights. Customer understands that the Software and data values derived from the Software are protected under copyright laws and are the subject of United States patents. Customer agrees to mark all Value Added Reports that contain Software output data values and other reports generated using the ETG Software with the following:
- “Portions of the Software are protected under United States Patents #5,835,897; #6,370,511; #7,620,560; #7,725,333; #7,774,216; and #7,979,290. Other U.S. and foreign patents pending. Recipient of this information may not disclose, permit to be disclosed, or otherwise resell or transfer all or any portion of this information to any third party.”
- D. Rights to Use. Customer's right to use the Software is limited to the uses stated in these License Terms, provided, however, that some of these Rights to Use shall

apply to only some of the Software, as noted below.

1. Grouping Claims. Customer may use the Symmetry Software described in Section I(A) of these License Terms (collectively, the “Symmetry Software”) at the sites defined below for the purpose of grouping of claims for which Customer is the payer or third party administrator (TPA) (unless otherwise permitted below) and using any Symmetry Software output (i.e., data values) for the internal business activities of Customer or Customer’s payer or TPA customers, including use of the output for the purposes of medical cost containment and treatment analysis, and provider network analyses and management.
 2. Value Added Reports. Customer may use the Symmetry Software to create Value Added Reports. “Value Added Reports” means Customer’s written analysis and interpretation of the results generated by processing any of Customer’s own claims (if Customer is a payer) or any one group’s claims through the Symmetry Software, where such reports contain data values which are output from Symmetry Software. Value Added Reports may be in the form of reports, queries or analysis, paper or electronic, and solely for the Symmetry Software, may include the grouped data and identifiers generated by the Symmetry Software. To the extent the Value Added Reports contain data values, Customer may deliver Value Added Reports only to the employer group, other group or association, physicians, physician groups, or consumers whose claims were processed for such report.
 3. Prohibitions: Customer shall not have any right to further manipulate, use or disclose the Symmetry Software output (i.e., data values) or the Value Added Reports.
 4. Non-Standard Disclosures of Value Added Reports Containing Data Values: Should Customer desire to disclose any Symmetry Software output data values or Value Added Reports to a third party entity other than as described above, Customer is required to notify Optum of the entity and the scope of the project requiring the disclosure. If Optum agrees that Customer may make such disclosure, Customer will ensure that the receiving entity signs a non-disclosure agreement with Customer or with Optum which prohibits further uses or disclosures of the Symmetry Software output data values and Value Added Reports. Customer will pay Optum any additional mutually agreed fees for such disclosure.
- E. Informational Tool. The Symmetry Software is provided to Customer for informational purposes only. Customer acknowledges that the Symmetry Software is a tool that Customer may use in various ways in its internal business. Any reliance upon, interpretation of and/or use of the Symmetry Software by Customer is solely and exclusively at the discretion of Customer. Customer’s determination or establishment of an appropriate treatment plan, reimbursement level or fee is solely within Customer’s discretion, regardless of whether Customer uses the Symmetry Software. Optum is not engaged in the practice of medicine and does not determine, on Customer’s behalf, the appropriate fee or reimbursement levels for Customer and its business. Customer shall not use the Symmetry Software to perform medical diagnostic functions, set treatment procedures or substitute for the medical judgment of a physician or qualified health care provider.

- II. Optum Hosting Obligations and Customer's Related Obligations. Optum shall be responsible for having to acquire, install, implement and maintain all services, hardware, software, networks, program fixes, program releases, operating system software, database software, and other third-party software, as deemed necessary by Optum for proper execution of the Software. Customer shall not require Optum to deliver the Software to any third party for such third party's use, even if such third party use is on behalf of Customer. Under no circumstances does this license allow for the access to or distribution of the Software's executable programs, codes, or related documentation to any entities outside of the site(s).
- A. Software Delivery. Optum will make available to Customer one (1) master copy of the Software in object form. Such copy of the Software shall be in an electronic form and suitable for reproduction by Customer in support of Customer's permitted uses of the Software. Customer may use the Software at either the production site referenced in Optum's proposal (i.e., the Optum Data Center in Chaska, Minnesota) (the "Primary Site") and at a disaster recovery site located in Elk River, Minnesota (the "DR Site"). To the extent that Customer's Disaster Recovery testing requires the installation at the DR Site, such use shall be permitted for the duration of such testing.
- B. Future Sites. Optum and Customer agree that future installation sites may be added under these License Terms as mutually agreed upon by both parties in writing and at an additional cost (the Primary Site, the DR Site and other sites are collectively the "Sites").

Customer shall be responsible for the accuracy of any Customer Data delivered to Optum. Customer agrees that the Customer Data it provides to Optum (if any) contains true and accurate data and information, to the best of Customer's knowledge. Optum shall not be responsible for errors in Customer Data or data entry done by Customer or the Data Sources, or for errors in services, programs, hardware, data files, or output Optum provides to or maintains for Customer, if those Optum errors result from errors in Customer's or the Data Sources' input data, or from Customer's failure to comply with these provisions. Customer is responsible for obtaining, prior to furnishing any data or information to Optum, any necessary permissions, consents, or releases, including entering into business associate agreements as applicable, which are required by applicable federal, state or local laws and/or regulations for the delivery of Customer Data to Optum and for Optum to use and disclose such Customer Data as set forth under these License Terms or required by law.

- III. Software Services. Optum will perform the following Services for Customer for the current version of the Software and one prior version but solely during the term of the Prime Contract.
- A. Generally Available Software Updates and Corrections. Optum shall promptly make available to Customer all modifications, updates, error corrections, minor releases, major releases and all related documentation for the Software versions that Optum installs at the Sites. Optum will make minor updates (including error corrections) to the Software as Optum determines is appropriate. Migration to new major releases of the Software will be coordinated with the Customer. Customer shall make a good faith effort to migrate its use to the most current version of the Software within a reasonable timeframe from general availability of such current version.
- B. Software Version Support. Optum will support Customer in maintenance of the then current release as well as prior releases for a limited time period as indicated in the Software documentation.

IV. Collected Data.

The following provisions apply solely with respect to the Symmetry Software:

- A. Definition of Collected Data. "Collected Data" is defined as Customer's health care claims and/or health care encounter data in a format containing identifiers from the Software, including but not limited to the ETG number, ETG subclass identifier; the episode number; the cluster number; the episode type; risk markers, and Software version.
- B. Confidentiality of Collected Data. Customer agrees not to disclose, permit to be disclosed, or otherwise resell or transfer, with or without consideration, all or any portion of the Collected Data to any third party, except that Customer may disclose the Collected Data, at no additional charge to Customer, to its consultants or agents for the sole purpose of assisting or advising Customer in the conduct of Customer's internal business activities. Prior to such disclosure, Customer's consultants and agents and other permitted third parties shall execute a nondisclosure agreement, in a form consistent with the language contained herein, which will prohibit such consultants or agents from using such Collected Data (other than to assist or advise Customer), from disclosing such the Collected Data to any third party, and from aggregating Customer's Collected Data with data from any other sources. If Customer is required to disclose the Collected Data by law or by regulatory agencies or other entities with legal authority to examine the Collected Data, Customer shall deliver prompt written notice to Optum of such potential examination, allowing Optum the opportunity to interpose all objections to the proposed disclosure.

V. CPT, CDT and ASA Terms. The following provisions apply solely with respect to the Symmetry Software:

- A. Certain Optum Software and Data Products contain Current Procedural Terminology Codes ("CPT") owned and copyrighted by the American Medical Association ("AMA") and licensed to Optum, and/or CDT codes owned and copyrighted by the American Dental Association ("ADA"), and/or ASA content ("ASA Content") owned and copyrighted by the American Society of Anesthesiologists ("ASA"). The terms of this Section V apply only to Software and Data Products that contain CPT and/or CDT and/or ASA Content. Collectively, the CPT codes, CDT codes and ASA Content are referred to as the "Licensed Codes". Customer acquires no proprietary interest in the Licensed Codes. Except for the limited rights expressly granted to Customer in these License Terms, Customer acknowledges that all other rights in the Licensed Codes are owned and retained by AMA, ADA and ASA, respectively. All notices or proprietary rights, including trademark and copyright in the Licensed Codes must appear on all permitted back-up or archival copies made by Customer. CROSSWALK®, Reverse CROSSWALK™ and Relative Value Guide™ are trademarks of ASA.
- B. Customer shall ensure that any person or entity that Customer authorizes to obtain access to Licensed Codes shall comply with the provisions of these License Terms. Customer shall not use Licensed Codes or information contained therein in any public computer-based information system or public electronic bulletin board (including the Internet and World Wide Web). Customer shall not create any derivative works based on Licensed Codes. Customer may print or download "CPT® Assistant" and/or "CPT® Changes" content or the Licensed Codes from the Software or Data Products solely for

Customer's own internal use, without any modification to the content, and in such a way that the appropriate citation is included. Optum's ability to deliver updated versions of CPT to Customer is dependent upon continuing contractual relations with the AMA.

- C. The AMA provides CPT "AS IS", without any liability to the AMA, including, without limitation, no liability for consequential or special damages or lost profits for sequence, accuracy or completeness of the CPT data. The AMA does not warrant that CPT will meet Customer's requirements. The AMA disclaims any liability for any consequences due to use, misuse or interpretation of information contained or not contained in CPT.
- D. Except as expressly stated herein, the Licensed Codes and documentation are provided 'AS IS', without warranty of any kind, express or implied, including, but not limited to, warranties of performance or merchantability or fitness for a particular purpose. Customer (and not the AMA, ADA or ASA) bears all risk relating to quality, accuracy and performance of Licensed Codes. Customer agrees to indemnify ADA (including reasonable attorneys' fees and costs of litigation) against and hold ADA harmless from any and all claims, liability, losses, damages and expenses resulting from Customer's use of the CDT, in breach of any of the License Terms, or Customer's use of any data or documentation received from ADA, regardless of the form of action. ASA's sole responsibility is to make available to Optum replacement copies of the ASA Content if the ASA Content is not intact. ASA disclaims any liability for any consequences due to use, misuse, or interpretation of information contained or not contained in ASA Content.
- E. Licensed Codes are commercial technical data and/or computer data bases and/or commercial computer software and/or commercial computer software documentation, as applicable, which were developed exclusively at private expense by the American Medical Association, 515 N. State Street, Chicago, IL 60610, the ADA or the ASA. U.S. Government rights to use, modify, reproduce, release, perform, display, or disclose these technical data and/or computer data bases and/or computer software and/or computer software documentation are subject to the limited rights restrictions of DFARS 252.227-7015(b)(2) and/or subject to the restriction of DFARS 227.7202-1(a) and DFARS 227.7202-3(a), as applicable for U.S. Department of Defense procurements and the limited rights of restrictions of FAR 52.227-14 and/or subject to the restricted rights provisions of FAR 52.227-14 and FAR 52.227-19, as applicable, and any applicable agency FAR Supplements, for non-Department of Defense Federal procurements.

VI. Warranties and Limitations of Warranties.

- A. Optum represents and warrants to Customer that Optum has the right to license the Software to Customer. All rights in patents, copyrights, trademarks and trade secrets encompassed in the Software will remain in Optum or its licensors, as applicable. Customer does not obtain any rights in the Software except the limited right to use the Software as provided herein.
- B. Optum warrants that the Software will perform substantially in accordance with the applicable Documentation for the licensed release. If the Software fails to perform in accordance with the Documentation, Customer shall notify Optum in writing, and Optum shall repair or replace the Software. These warranties are void if Customer modifies the Software, Customer uses the Software in any manner that is not allowed under these License Terms, or Customer allows unauthorized persons to use the Software.

C. Optum represents and warrants to Customer that:

- (1) Each of Optum's employees, agents and subcontractors assigned to perform any Services shall have the proper skill, training, and experience to perform the Services and the Services will be performed in a competent and professional manner.
- (2) For the duration of any maintenance or support services that Customer obtains from Optum, the Software that is being maintained or supported by Optum shall perform substantially in accordance with its then-current Documentation.

D. EXCEPT AS EXPRESSLY PROVIDED HEREIN, OPTUM AND ITS LICENSORS MAKE NO WARRANTIES OR REPRESENTATIONS RELATING TO THE SOFTWARE, THE DATA PRODUCTS, OR THE SERVICES, EXPRESS OR IMPLIED, AND SPECIFICALLY DISCLAIMS THE WARRANTIES OF MERCHANTABILITY AND FITNESS FOR A PARTICULAR PURPOSE.

VII. Limitation of Remedies and Indemnification.

- A. This Section VII(A) limits the parties' liability to each other in actions between the parties brought under these License Terms. This Section VII(A) does not limit (a) the parties' obligations to each other under Sections VII(B) or VII(C) of these License Terms, or (b) the liability either party may have to the other party for breach of Sections VI or VIII of these License Terms, or (c) Customer's liability to Optum for failure to pay amounts due under these License Terms. Each party's liability to the other party for direct damages arising out of these License Terms shall not exceed the amount paid or owed to Optum for the twelve- (12-) month period immediately prior to the incident giving rise to the cause of action. Neither party nor the third party vendors of products embedded in the Software or Data Products shall be responsible under these License Terms for any indirect, incidental, special or consequential damages, including, without limitation, loss of profits, revenue, data or data use, resulting from either party's performance or failure to perform under these License Terms, including, without limitation, the use of or inability to use the Software, data products or Services, any damage to equipment and any cost of recovering lost data or of reprogramming.
- B. When a third party sues Customer or a governmental agency assesses a fine or penalty against Customer, Optum agrees to defend Customer against and hold it harmless from all third-party claims, damages and liabilities resulting from (a) a claim that any Software or data products owned by Optum infringes a United States patent or United States copyright, (b) Optum's breach of these License Terms; provided that Customer gives Optum prompt, written notice of any such claim, sole control of the defense and settlement of such claim, and all reasonable assistance to defend such claim. Customer shall not agree to settle the claim without Optum's written consent, provided that such consent is not unreasonably withheld, conditioned or delayed. Optum shall have no obligations under this Section if such claims, damages and liabilities result from Customer's breach of these License Terms or Customer's unauthorized or inappropriate use of or modifications to the Software or data products. This indemnification provision shall not be deemed to waive or limit any other rights.
- C. When a third party sues Optum or a governmental agency assesses a fine or penalty against Optum, Customer agrees to defend Optum against and hold Optum harmless from all third-party claims, damages and liabilities resulting from (a) use of Customer

Data by any third party to whom Customer has directed Optum to deliver such data; or (b) Customer's business decisions made after use of the Software or data products (except for claims which fall under Section VII(B) of these License Terms) or Customer's business decisions made after use of the Services; or (c) Customer's breach of these License Terms; provided that Optum gives Customer prompt, written notice of any such claim, and all reasonable assistance to defend such claim. Optum shall not agree to settle the claim without Customer's written consent, provided that such consent is not unreasonably withheld, conditioned or delayed. Customer shall have no obligation under this Section VII(C) if such claims, damages and liabilities result from Optum's breach of these License Terms. This indemnification provision shall not be deemed to waive or limit any other rights.

- D. The provisions of the Uniform Computer Information Transactions Act shall not apply to these License Terms.

VIII. Confidentiality.

- A. Each party acknowledges that in the course of performing under these License Terms, each party may learn confidential, trade secret, or proprietary information concerning the other party or third parties to whom the other party has an obligation of confidentiality ("Confidential Information"). Without limiting the foregoing, Optum's Confidential Information shall include, without limitation, the terms of these License Terms, financial information and employee information; information regarding Optum products, marketing plans, business plans, customer names and lists, Software, data products, Services and Documentation; reports generated by or for Optum; Optum's methods of database creation; Optum's translation, standardization, enhancement, and health data analysis techniques, health data reporting and profiling methods and formats; software tools for report creation, distribution and retrieval; and associated algorithms, developments, improvements, know-how, code (object and source), programs, software architecture, technology and trade secrets. Without limiting the foregoing, Customer's Confidential Information shall include information regarding Customer's business and information regarding Customer's patients, premiums and claims data. Confidential Information shall not include PHI.
- B. Each party agrees that (a) it will use the other party's Confidential Information only as may be necessary in the course of performing duties, receiving services or exercising rights under these License Terms; (b) it will treat such information as confidential and proprietary; (c) it will not disclose such information orally or in writing to any third party without the prior written consent of the other party; (d) it will take all reasonable precautions to protect the other party's Confidential Information; and (e) it will not otherwise appropriate such information to its own use or to the use of any other person or entity. Without limiting the foregoing, each party agrees to take at least such precautions to protect the other party's Confidential Information as it takes to protect its own Confidential Information. Each party is solely responsible for all use of the other party's Confidential Information by anyone who gains access to the Confidential Information under such party's authorization. Upon termination or expiration (without renewal) of these License Terms, each party will return to the other party or certify as destroyed all tangible items containing any of the other party's Confidential Information that are held by that party or its employees, agents or contractors, other than archival copies. Each party agrees to notify the other party if it becomes aware of any unauthorized use or disclosure of the other party's Confidential Information.

- C. If either party believes it is required by law or by a subpoena or court order to disclose any of the other party's Confidential Information, it shall promptly notify the other party and shall make all reasonable efforts to allow the other party an opportunity to seek a protective order or other judicial relief prior to any disclosure.
- D. Nothing in these License Terms shall be construed to restrict disclosure or use of information that (a) was in the possession of or rightfully known by the recipient, without an obligation to maintain its confidentiality, prior to receipt from the other party; (b) is or becomes generally known to the public without violation of these License Terms; (c) is obtained by the recipient in good faith from a third party having the right to disclose it without an obligation of confidentiality; or (d) is independently developed by the receiving party without reference to the other party's Confidential Information.

IX. Term and Termination.

- A. Term. These License Terms are effective as of the date that the Customer first uses the Software (the "Effective Date"), and continues for the term of the Prime Contract.
- B. Effect of Termination. Within thirty (30) days after termination of the Prime Contract, Optum shall deliver the then current version of the Software to the Customer, where the Customer shall be licensed on a perpetual basis, the use of such Software on its own systems, subject to the license terms set forth herein but where Optum shall have no further support obligation with regard to such Software nor shall Customer have the right to the historical data produced by the Symmetry Software.

Appendix F

IBM Cognos Business Intelligence Software License Terms

The Cognos Business Intelligence Software described in Optum's Technical Proposal shall be licensed to the State based on the manufacturer's (IBM Corporation)'s standard, end user license agreement for such Software, the International Program License Agreement ("IPLA") attached as Appendix F, subject to the obligation of IBM to negotiate in good faith mutually acceptable changes to such IPLA.



International Program License Agreement

国际程序许可协议

國際程式授權合約

Mezinárodní licenční smlouva pro programy

Conditions Internationales d'Utilisation de Logiciel

Internationale Nutzungsbedingungen für Programmpakete

Διεθνής Σύμβαση Άδειας Χρήσης Προγράμματος

Perjanjian Lisensi Program Internasional

Accordo Internazionale di Licenza di Programmi

プログラムのご使用条件

국제 프로그램 라이선스 계약

Tarptautinė programos licencinė sutartis

Międzynarodowa Umowa Licencyjna na Program

Contrato Internacional de Licença de Programa

Международное Лицензионное Соглашение в отношении Программ

Mednarodna licenčna pogodba za program

Acuerdo Internacional de Programas bajo Licencia

Uluslararası Program Lisans Sözleşmesi

International Program License Agreement

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- DO NOT DOWNLOAD, INSTALL, COPY, ACCESS, CLICK ON AN "ACCEPT" BUTTON, OR USE THE PROGRAM; AND
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"**Authorized Use**" – the specified level at which Licensee is authorized to execute or run the Program. That level may be measured by number of users, millions of service units ("MSUs"), Processor Value Units ("PVUs"), or other level of use specified by IBM.

"**IBM**" – International Business Machines Corporation or one of its subsidiaries.

"**License Information**" ("**LI**") – a document that provides information and any additional terms specific to a Program. The Program's LI is available at www.ibm.com/software/sla. The LI can also be found in the Program's directory, by the use of a system command, or as a booklet included with the Program.

"**Program**" – the following, including the original and all whole or partial copies: 1) machine-readable instructions and data, 2) components, files, and modules, 3) audio-visual content (such as images, text, recordings, or pictures), and 4) related licensed materials (such as keys and documentation).

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"**Warranty Period**" – one year, starting on the date the original Licensee is granted the license.

2. Agreement Structure

This Agreement includes **Part 1 – General Terms**, **Part 2 – Country-unique Terms** (if any), the LI, and the PoE and is the complete agreement between Licensee and IBM regarding the use of the Program. It replaces any prior oral or written communications between Licensee and IBM concerning Licensee's use of the Program. The terms of Part 2 may replace or modify those of Part 1. To the extent of any conflict, the LI prevails over both Parts.

3. License Grant

The Program is owned by IBM or an IBM supplier, and is copyrighted and licensed, not sold.

IBM grants Licensee a nonexclusive license to 1) use the Program up to the Authorized Use specified in the PoE, 2) make and install copies to support such Authorized Use, and 3) make a backup copy, all provided that

- a. Licensee has lawfully obtained the Program and complies with the terms of this Agreement;

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- e. Licensee does not 1) use, copy, modify, or distribute the Program except as expressly permitted in this Agreement; 2) reverse assemble, reverse compile, otherwise translate, or reverse engineer the Program, except as expressly permitted by law without the possibility of contractual waiver; 3) use any of the Program's components, files, modules, audio-visual content, or related licensed materials separately from that Program; or 4) sublicense, rent, or lease the Program; and
- f. if Licensee obtains this Program as a Supporting Program, Licensee uses this Program only to support the Principal Program and subject to any limitations in the license to the Principal Program, or, if Licensee obtains this Program as a Principal Program, Licensee uses all Supporting Programs only to support this Program, and subject to any limitations in this Agreement. For purposes of this Item "f," a "Supporting Program" is a Program that is part of another IBM Program ("Principal Program") and identified as a Supporting Program in the Principal Program's LI. (To obtain a separate license to a Supporting Program without these restrictions, Licensee should contact the party from whom Licensee obtained the Supporting Program.)

This license applies to each copy of the Program that Licensee makes.

3.1 Trade-ups, Updates, Fixes, and Patches

3.1.1 Trade-ups

If the Program is replaced by a trade-up Program, the replaced Program's license is promptly terminated.

3.1.2 Updates, Fixes, and Patches

When Licensee receives an update, fix, or patch to a Program, Licensee accepts any additional or different terms that are applicable to such update, fix, or patch that are specified in its LI. If no additional or different terms are provided, then the update, fix, or patch is subject solely to this Agreement. If the Program is replaced by an update, Licensee agrees to promptly discontinue use of the replaced Program.

3.2 Fixed Term Licenses

If IBM licenses the Program for a fixed term, Licensee's license is terminated at the end of the fixed term, unless Licensee and IBM agree to renew it.

3.3 Term and Termination

This Agreement is effective until terminated.

IBM may terminate Licensee's license if Licensee fails to comply with the terms of this Agreement.

If the license is terminated for any reason by either party, Licensee agrees to promptly discontinue use of and destroy all of Licensee's copies of the Program. Any terms of this Agreement that by their nature extend beyond termination of this Agreement remain in effect until fulfilled, and apply to both parties' respective successors and assignees.

4. Charges

Charges are based on Authorized Use obtained, which is specified in the PoE. IBM does not give credits or refunds for charges already due or paid, except as specified elsewhere in this Agreement.

If Licensee wishes to increase its Authorized Use, Licensee must notify IBM or an authorized IBM reseller in advance and pay any applicable charges.

5. Taxes

If any authority imposes on the Program a duty, tax, levy, or fee, excluding those based on IBM's net income, then Licensee agrees to pay that amount, as specified in an invoice, or supply exemption documentation. Licensee is responsible for any personal property taxes for the Program from the date that Licensee obtains it. If any authority imposes a customs duty, tax, levy, or fee for the import into or the export, transfer, access, or use of the Program outside the country in which the original Licensee was granted the license, then Licensee agrees that it is responsible for, and will pay, any amount imposed.

6. Money-back Guarantee

If Licensee is dissatisfied with the Program for any reason and is the original Licensee, Licensee may terminate the license and obtain a refund of the amount Licensee paid for the Program, provided that Licensee returns the Program and PoE to the party from whom Licensee obtained it within 30 days of the date the PoE was issued to Licensee. If the license is for a fixed term that is subject to renewal, then Licensee may obtain a refund only if the Program and its PoE are returned within the first 30 days of the initial term. If Licensee downloaded the Program, Licensee should contact the party from whom Licensee obtained it for instructions on how to obtain the refund.

7. Program Transfer

Licensee may transfer the Program and all of Licensee's license rights and obligations to another party only if that party agrees to the terms of this Agreement. If the license is terminated for any reason by either party, Licensee is prohibited from transferring the Program to another party. Licensee may not transfer a portion of 1) the Program or 2) the Program's Authorized Use. When Licensee transfers the Program, Licensee must also transfer a hard copy of this Agreement, including the LI and PoE. Immediately after the transfer, Licensee's license terminates.

8. Warranty and Exclusions

8.1 Limited Warranty

IBM warrants that the Program, when used in its specified operating environment, will conform to its specifications. The Program's specifications, and specified operating environment information, can be found in documentation accompanying the Program (such as a read-me file) or other information published by IBM (such as an announcement letter). Licensee agrees that such documentation and other Program content may be supplied only in the English language, unless otherwise required by local law without the possibility of contractual waiver or limitation.

The warranty applies only to the unmodified portion of the Program. IBM does not warrant uninterrupted or error-free operation of the Program, or that IBM will correct all Program defects. Licensee is responsible for the results obtained from the use of the Program.

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If the Program does not function as warranted during the Warranty Period and the problem cannot be resolved with information available in the IBM databases, Licensee may return the Program and its PoE to the party (either IBM or its reseller) from whom Licensee obtained it and receive a refund of the amount Licensee paid. After returning the Program, Licensee's license terminates. If Licensee downloaded the Program, Licensee should contact the party from whom Licensee obtained it for instructions on how to obtain the refund.

8.2 Exclusions

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To assist Licensee in isolating the cause of a problem with the Program, IBM may request that Licensee 1) allow IBM to remotely access Licensee's system or 2) send Licensee information or system data to IBM. However, IBM is not obligated to provide such assistance unless IBM and Licensee enter a separate written agreement under which IBM agrees to provide to Licensee that type of support, which is beyond IBM's warranty obligations in this Agreement. In any event, IBM uses information about errors and problems to improve its products and services, and assist with its provision of related support offerings. For these purposes, IBM may use IBM entities and subcontractors (including in one or more countries other than the one in which Licensee is located), and Licensee authorizes IBM to do so.

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10. Limitation of Liability

The limitations and exclusions in this Section 10 (Limitation of Liability) apply to the full extent they are not prohibited by applicable law without the possibility of contractual waiver.

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This limit also applies to any of IBM's Program developers and suppliers. It is the maximum for which IBM and its Program developers and suppliers are collectively responsible.

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- b. **SPECIAL, INCIDENTAL, EXEMPLARY, OR INDIRECT DAMAGES, OR FOR ANY ECONOMIC CONSEQUENTIAL DAMAGES; OR**
- c. **LOST PROFITS, BUSINESS, REVENUE, GOODWILL, OR ANTICIPATED SAVINGS.**

11. Compliance Verification

For purposes of this Section 11 (Compliance Verification), "IPLA Program Terms" means 1) this Agreement and applicable amendments and transaction documents provided by IBM, and 2) IBM software policies that may be found at the IBM Software Policy website (www.ibm.com/softwarepolicies), including but not limited to those policies concerning backup, sub-capacity pricing, and migration.

The rights and obligations set forth in this Section 11 remain in effect during the period the Program is licensed to Licensee, and for two years thereafter.

11.1 Verification Process

Licensee agrees to create, retain, and provide to IBM and its auditors accurate written records, system tool outputs, and other system information sufficient to provide auditable verification that Licensee's use of all Programs is in compliance with the IPLA Program Terms, including, without limitation, all of IBM's applicable licensing and pricing qualification terms. Licensee is responsible for 1) ensuring that it does not exceed its Authorized Use, and 2) remaining in compliance with IPLA Program Terms.

Upon reasonable notice, IBM may verify Licensee's compliance with IPLA Program Terms at all sites and for all environments in which Licensee uses (for any purpose) Programs subject to IPLA Program Terms. Such verification will be conducted in a manner that minimizes disruption to Licensee's business, and may be conducted on Licensee's premises, during normal business hours. IBM may use an independent auditor to assist with such verification, provided IBM has a written confidentiality agreement in place with such auditor.

11.2 Resolution

IBM will notify Licensee in writing if any such verification indicates that Licensee has used any Program in excess of its Authorized Use or is otherwise not in compliance with the IPLA Program Terms. Licensee agrees to promptly pay directly to IBM the charges that IBM specifies in an invoice for 1) any such excess use, 2) support for such excess use for the lesser of the duration of such excess use or two years, and 3) any additional charges and other liabilities determined as a result of such verification.

12. Third Party Notices

The Program may include third party code that IBM, not the third party, licenses to Licensee under this Agreement. Notices, if any, for the third party code ("Third Party Notices") are included for Licensee's information only. These notices can be found in the Program's NOTICES file(s). Information on how to obtain source code for certain third party code can be found in the Third Party Notices. If in the Third Party Notices IBM identifies third party code as "Modifiable Third Party Code," IBM authorizes Licensee to 1) modify the Modifiable Third Party Code and 2) reverse engineer the Program modules that directly interface with the Modifiable Third Party Code provided that it is only for the purpose of debugging Licensee's modifications to such third party code. IBM's service and support obligations, if any, apply only to the unmodified Program.

13. General

- a. Nothing in this Agreement affects any statutory rights of consumers that cannot be waived or limited by contract.
- b. For Programs IBM provides to Licensee in tangible form, IBM fulfills its shipping and delivery obligations upon the delivery of such Programs to the IBM-designated carrier, unless otherwise agreed to in writing by Licensee and IBM.
- c. If any provision of this Agreement is held to be invalid or unenforceable, the remaining provisions of this Agreement remain in full force and effect.
- d. Licensee agrees to comply with all applicable export and import laws and regulations, including U.S. embargo and sanctions regulations and prohibitions on export for certain end uses or to certain users.
- e. Licensee authorizes International Business Machines Corporation and its subsidiaries (and their successors and assigns, contractors and IBM Business Partners) to store and use Licensee's business contact information wherever they do business, in connection with IBM products and services, or in furtherance of IBM's business relationship with Licensee.
- f. Each party will allow the other reasonable opportunity to comply before it claims that the other has not met its obligations under this Agreement. The parties will attempt in good faith to resolve all disputes, disagreements, or claims between the parties relating to this Agreement.
- g. Unless otherwise required by applicable law without the possibility of contractual waiver or limitation: 1) neither party will bring a legal action, regardless of form, for any claim arising out of or related to this Agreement more than two years after the cause of action arose; and 2) upon the expiration of such time limit, any such claim and all respective rights related to the claim lapse.
- h. Neither Licensee nor IBM is responsible for failure to fulfill any obligations due to causes beyond its control.
- i. No right or cause of action for any third party is created by this Agreement, nor is IBM responsible for any third party claims against Licensee, except as permitted in Subsection 10.1 (Items for Which IBM May Be Liable) above for bodily injury (including death) or damage to real or tangible personal property for which IBM is legally liable to that third party.
- j. In entering into this Agreement, neither party is relying on any representation not specified in this Agreement, including but not limited to any representation concerning: 1) the performance or function of the Program, other than as expressly warranted in Section 8 (Warranty and Exclusions) above; 2) the experiences or recommendations of other parties; or 3) any results or savings that Licensee may achieve.
- k. IBM has signed agreements with certain organizations (called "IBM Business Partners") to promote, market, and support certain Programs. IBM Business Partners remain independent and separate from IBM. IBM is not responsible for the actions or statements of IBM Business Partners or obligations they have to Licensee.
- l. The license and intellectual property indemnification terms of Licensee's other agreements with IBM (such as the IBM Customer Agreement) do not apply to Program licenses granted under this Agreement.

14. Geographic Scope and Governing Law

14.1 Governing Law

Both parties agree to the application of the laws of the country in which Licensee obtained the Program license to govern, interpret, and enforce all of Licensee's and IBM's respective rights, duties, and obligations arising from, or relating in any manner to, the subject matter of this Agreement, without regard to conflict of law principles.

The United Nations Convention on Contracts for the International Sale of Goods does not apply.

14.2 Jurisdiction

All rights, duties, and obligations are subject to the courts of the country in which Licensee obtained the Program license.

Part 2 – Country-unique Terms

For licenses granted in the countries specified below, the following terms replace or modify the referenced terms in Part 1. All terms in Part 1 that are not changed by these amendments remain unchanged and in effect. This Part 2 is organized as follows:

- Multiple country amendments to Part 1, Section 14 (Governing Law and Jurisdiction);
- Americas country amendments to other Agreement terms;
- Asia Pacific country amendments to other Agreement terms; and
- Europe, Middle East, and Africa country amendments to other Agreement terms.

Multiple country amendments to Part 1, Section 14 (Governing Law and Jurisdiction)

14.1 Governing Law

The phrase "the laws of the country in which Licensee obtained the Program license" in the first paragraph of 14.1 Governing Law is replaced by the following phrases in the countries below:

AMERICAS

- (1) In **Canada**: the laws in the Province of Ontario;
- (2) in **Mexico**: the federal laws of the Republic of Mexico;
- (3) in the **United States, Anguilla, Antigua/Barbuda, Aruba, British Virgin Islands, Cayman Islands, Dominica, Grenada, Guyana, Saint Kitts and Nevis, Saint Lucia, Saint Maarten, and Saint Vincent and the Grenadines**: the laws of the State of New York, United States;
- (4) in **Venezuela**: the laws of the Bolivarian Republic of Venezuela;

ASIA PACIFIC

- (5) in **Cambodia and Laos**: the laws of the State of New York, United States;
- (6) in **Australia**: the laws of the State or Territory in which the transaction is performed;
- (7) in **Hong Kong SAR and Macau SAR**: the laws of Hong Kong Special Administrative Region ("SAR");
- (8) in **Taiwan**: the laws of Taiwan;

EUROPE, MIDDLE EAST, AND AFRICA

- (9) in **Albania, Armenia, Azerbaijan, Belarus, Bosnia-Herzegovina, Bulgaria, Croatia, Former Yugoslav Republic of Macedonia, Georgia, Hungary, Kazakhstan, Kyrgyzstan, Moldova, Montenegro, Poland, Romania, Russia, Serbia, Slovakia, Tajikistan, Turkmenistan, Ukraine, and Uzbekistan**: the laws of Austria;
- (10) in **Algeria, Andorra, Benin, Burkina Faso, Cameroon, Cape Verde, Central African Republic, Chad, Comoros, Congo Republic, Djibouti, Democratic Republic of Congo, Equatorial Guinea, French Guiana, French Polynesia, Gabon, Gambia, Guinea, Guinea-Bissau, Ivory Coast, Lebanon, Madagascar, Mali, Mauritania, Mauritius, Mayotte, Morocco, New Caledonia, Niger, Reunion, Senegal, Seychelles, Togo, Tunisia, Vanuatu, and Wallis and Futuna**: the laws of France;
- (11) in **Estonia, Latvia, and Lithuania**: the laws of Finland;
- (12) in **Angola, Bahrain, Botswana, Burundi, Egypt, Eritrea, Ethiopia, Ghana, Jordan, Kenya, Kuwait, Liberia, Malawi, Malta, Mozambique, Nigeria, Oman, Pakistan, Qatar, Rwanda, Sao Tome and Principe, Saudi Arabia, Sierra Leone, Somalia, Tanzania, Uganda, United Arab Emirates, the United Kingdom, West Bank/Gaza, Yemen, Zambia, and Zimbabwe**: the laws of England; and

- (13) in **South Africa, Namibia, Lesotho, and Swaziland**: the laws of the Republic of South Africa.

14.2 Jurisdiction

The following paragraph pertains to jurisdiction and replaces Subsection 14.2 (Jurisdiction) as it applies for those countries identified below:

All rights, duties, and obligations are subject to the courts of the country in which Licensee obtained the Program license except that in the countries identified below all disputes arising out of or related to this Agreement, including summary proceedings, will be brought before and subject to the exclusive jurisdiction of the following courts of competent jurisdiction:

AMERICAS

- (1) In **Argentina**: the Ordinary Commercial Court of the city of Buenos Aires;
- (2) in **Brazil**: the court of Rio de Janeiro, RJ;
- (3) in **Chile**: the Civil Courts of Justice of Santiago;
- (4) in **Ecuador**: the civil judges of Quito for executory or summary proceedings (as applicable);
- (5) in **Mexico**: the courts located in Mexico City, Federal District;
- (6) in **Peru**: the judges and tribunals of the judicial district of Lima, Cercado;
- (7) in **Uruguay**: the courts of the city of Montevideo;
- (8) in **Venezuela**: the courts of the metropolitan area of the city of Caracas;

EUROPE, MIDDLE EAST, AND AFRICA

- (9) in **Austria**: the court of law in Vienna, Austria (Inner-City);
- (10) in **Algeria, Andorra, Benin, Burkina Faso, Cameroon, Cape Verde, Central African Republic, Chad, Comoros, Congo Republic, Djibouti, Democratic Republic of Congo, Equatorial Guinea, France, French Guiana, French Polynesia, Gabon, Gambia, Guinea, Guinea-Bissau, Ivory Coast, Lebanon, Madagascar, Mali, Mauritania, Mauritius, Mayotte, Monaco, Morocco, New Caledonia, Niger, Reunion, Senegal, Seychelles, Togo, Tunisia, Vanuatu, and Wallis and Futuna**: the Commercial Court of Paris;
- (11) in **Angola, Bahrain, Botswana, Burundi, Egypt, Eritrea, Ethiopia, Ghana, Jordan, Kenya, Kuwait, Liberia, Malawi, Malta, Mozambique, Nigeria, Oman, Pakistan, Qatar, Rwanda, Sao Tome and Principe, Saudi Arabia, Sierra Leone, Somalia, Tanzania, Uganda, United Arab Emirates, the United Kingdom, West Bank/Gaza, Yemen, Zambia, and Zimbabwe**: the English courts;
- (12) in **South Africa, Namibia, Lesotho, and Swaziland**: the High Court in Johannesburg;
- (13) in **Greece**: the competent court of Athens;
- (14) in **Israel**: the courts of Tel Aviv-Jaffa;
- (15) in **Italy**: the courts of Milan;
- (16) in **Portugal**: the courts of Lisbon;
- (17) in **Spain**: the courts of Madrid; and
- (18) in **Turkey**: the Istanbul Central Courts and Execution Directorates of Istanbul, the Republic of Turkey.

14.3 Arbitration

The following paragraph is added as a new Subsection 14.3 (Arbitration) as it applies for those countries identified below. The provisions of this Subsection 14.3 prevail over those of Subsection 14.2 (Jurisdiction) to the extent permitted by the applicable governing law and rules of procedure:

ASIA PACIFIC

(1) **In Cambodia, India, Laos, Philippines, and Vietnam:**

Disputes arising out of or in connection with this Agreement will be finally settled by arbitration which will be held in Singapore in accordance with the Arbitration Rules of Singapore International Arbitration Center ("SIAC Rules") then in effect. The arbitration award will be final and binding for the parties without appeal and will be in writing and set forth the findings of fact and the conclusions of law.

The number of arbitrators will be three, with each side to the dispute being entitled to appoint one arbitrator. The two arbitrators appointed by the parties will appoint a third arbitrator who will act as chairman of the proceedings. Vacancies in the post of chairman will be filled by the president of the SIAC. Other vacancies will be filled by the respective nominating party. Proceedings will continue from the stage they were at when the vacancy occurred.

If one of the parties refuses or otherwise fails to appoint an arbitrator within 30 days of the date the other party appoints its, the first appointed arbitrator will be the sole arbitrator, provided that the arbitrator was validly and properly appointed.

All proceedings will be conducted, including all documents presented in such proceedings, in the English language. The English language version of this Agreement prevails over any other language version.

(2) **In the People's Republic of China:**

In case no settlement can be reached, the disputes will be submitted to China International Economic and Trade Arbitration Commission for arbitration according to the then effective rules of the said Arbitration Commission. The arbitration will take place in Beijing and be conducted in Chinese. The arbitration award will be final and binding on both parties. During the course of arbitration, this agreement will continue to be performed except for the part which the parties are disputing and which is undergoing arbitration.

(3) **In Indonesia:**

Each party will allow the other reasonable opportunity to comply before it claims that the other has not met its obligations under this Agreement. The parties will attempt in good faith to resolve all disputes, disagreements, or claims between the parties relating to this Agreement. Unless otherwise required by applicable law without the possibility of contractual waiver or limitation, i) neither party will bring a legal action, regardless of form, arising out of or related to this Agreement or any transaction under it more than two years after the cause of action arose; and ii) after such time limit, any legal action arising out of this Agreement or any transaction under it and all respective rights related to any such action lapse.

Disputes arising out of or in connection with this Agreement shall be finally settled by arbitration that shall be held in Jakarta, Indonesia in accordance with the rules of Board of the Indonesian National Board of Arbitration (Badan Arbitrase Nasional Indonesia or "BANI") then in effect. The arbitration award shall be final and binding for the parties without appeal and shall be in writing and set forth the findings of fact and the conclusions of law.

The number of arbitrators shall be three, with each side to the dispute being entitled to appoint one arbitrator. The two arbitrators appointed by the parties shall appoint a third

arbitrator who shall act as chairman of the proceedings. Vacancies in the post of chairman shall be filled by the chairman of the BANI. Other vacancies shall be filled by the respective nominating party. Proceedings shall continue from the stage they were at when the vacancy occurred.

If one of the parties refuses or otherwise fails to appoint an arbitrator within 30 days of the date the other party appoints its, the first appointed arbitrator shall be the sole arbitrator, provided that the arbitrator was validly and properly appointed.

All proceedings shall be conducted, including all documents presented in such proceedings, in the English and/or Indonesian language.

EUROPE, MIDDLE EAST, AND AFRICA

- (4) In **Albania, Armenia, Azerbaijan, Belarus, Bosnia-Herzegovina, Bulgaria, Croatia, Former Yugoslav Republic of Macedonia, Georgia, Hungary, Kazakhstan, Kyrgyzstan, Moldova, Montenegro, Poland, Romania, Russia, Serbia, Slovakia, Tajikistan, Turkmenistan, Ukraine, and Uzbekistan:**

All disputes arising out of this Agreement or related to its violation, termination or nullity will be finally settled under the Rules of Arbitration and Conciliation of the International Arbitral Center of the Federal Economic Chamber in Vienna (Vienna Rules) by three arbitrators appointed in accordance with these rules. The arbitration will be held in Vienna, Austria, and the official language of the proceedings will be English. The decision of the arbitrators will be final and binding upon both parties. Therefore, pursuant to paragraph 598 (2) of the Austrian Code of Civil Procedure, the parties expressly waive the application of paragraph 595 (1) figure 7 of the Code. IBM may, however, institute proceedings in a competent court in the country of installation.

- (5) In **Estonia, Latvia, and Lithuania:**

All disputes arising in connection with this Agreement will be finally settled in arbitration that will be held in Helsinki, Finland in accordance with the arbitration laws of Finland then in effect. Each party will appoint one arbitrator. The arbitrators will then jointly appoint the chairman. If arbitrators cannot agree on the chairman, then the Central Chamber of Commerce in Helsinki will appoint the chairman.

AMERICAS COUNTRY AMENDMENTS

CANADA

10.1 Items for Which IBM May be Liable

The following replaces Item 1 in the first paragraph of this Subsection 10.1 (Items for Which IBM May be Liable):

1) damages for bodily injury (including death) and physical harm to real property and tangible personal property caused by IBM's negligence; and

13. General

The following replaces Item 13.d:

d. Licensee agrees to comply with all applicable export and import laws and regulations, including those of that apply to goods of United States origin and that prohibit or limit export for certain uses or to certain users.

The following replaces Item 13.i:

i. No right or cause of action for any third party is created by this Agreement or any transaction under it, nor is IBM responsible for any third party claims against Licensee except as permitted by the Limitation of Liability section above for bodily injury

(including death) or physical harm to real or tangible personal property caused by IBM's negligence for which IBM is legally liable to that third party.

The following is added as Item 13.m:

- m. For purposes of this Item 13.m, "Personal Data" refers to information relating to an identified or identifiable individual made available by one of the parties, its personnel or any other individual to the other in connection with this Agreement. The following provisions apply in the event that one party makes Personal Data available to the other:
- (1) General
 - (a) Each party is responsible for complying with any obligations applying to it under applicable Canadian data privacy laws and regulations ("Laws").
 - (b) Neither party will request Personal Data beyond what is necessary to fulfill the purpose(s) for which it is requested. The purpose(s) for requesting Personal Data must be reasonable. Each party will agree in advance as to the type of Personal Data that is required to be made available.
 - (2) Security Safeguards
 - (a) Each party acknowledges that it is solely responsible for determining and communicating to the other the appropriate technological, physical and organizational security measures required to protect Personal Data.
 - (b) Each party will ensure that Personal Data is protected in accordance with the security safeguards communicated and agreed to by the other.
 - (c) Each party will ensure that any third party to whom Personal Data is transferred is bound by the applicable terms of this section.
 - (d) Additional or different services required to comply with the Laws will be deemed a request for new services.
 - (3) Use

Each party agrees that Personal Data will only be used, accessed, managed, transferred, disclosed to third parties or otherwise processed to fulfill the purpose(s) for which it was made available.
 - (4) Access Requests
 - (a) Each party agrees to reasonably cooperate with the other in connection with requests to access or amend Personal Data.
 - (b) Each party agrees to reimburse the other for any reasonable charges incurred in providing each other assistance.
 - (c) Each party agrees to amend Personal Data only upon receiving instructions to do so from the other party or its personnel.
 - (5) Retention

Each party will promptly return to the other or destroy all Personal Data that is no longer necessary to fulfill the purpose(s) for which it was made available, unless otherwise instructed by the other or its personnel or required by law.
 - (6) Public Bodies Who Are Subject to Public Sector Privacy Legislation

For Licensees who are public bodies subject to public sector privacy legislation, this Item 13.m applies only to Personal Data made available to Licensee in connection with this Agreement, and the obligations in this section apply only to Licensee,

except that: 1) section (2)(a) applies only to IBM; 2) sections (1)(a) and (4)(a) apply to both parties; and 3) section (4)(b) and the last sentence in (1)(b) do not apply.

PERU

10. Limitation of Liability

The following is added to the end of this Section 10 (Limitation of Liability):

Except as expressly required by law without the possibility of contractual waiver, Licensee and IBM intend that the limitation of liability in this Limitation of Liability section applies to damages caused by all types of claims and causes of action. If any limitation on or exclusion from liability in this section is held by a court of competent jurisdiction to be unenforceable with respect to a particular claim or cause of action, the parties intend that it nonetheless apply to the maximum extent permitted by applicable law to all other claims and causes of action.

10.1 Items for Which IBM May be Liable

The following is added at the end of this Subsection 10.1:

In accordance with Article 1328 of the Peruvian Civil Code, the limitations and exclusions specified in this section will not apply to damages caused by IBM's willful misconduct ("dolo") or gross negligence ("culpa inexcusable").

UNITED STATES OF AMERICA

5. Taxes

The following is added at the end of this Section 5 (Taxes)

For Programs delivered electronically in the United States for which Licensee claims a state sales and use tax exemption, Licensee agrees not to receive any tangible personal property (e.g., media and publications) associated with the electronic program.

Licensee agrees to be responsible for any sales and use tax liabilities that may arise as a result of Licensee's subsequent redistribution of Programs after delivery by IBM.

13. General

The following is added to Section 13 as Item 13.m:

U.S. Government Users Restricted Rights – Use, duplication or disclosure is restricted by the GSA IT Schedule 70 Contract with the IBM Corporation.

The following is added to Item 13.f:

Each party waives any right to a jury trial in any proceeding arising out of or related to this Agreement.

ASIA PACIFIC COUNTRY AMENDMENTS

AUSTRALIA

5. Taxes

The following sentences replace the first two sentences of Section 5 (Taxes):

If any government or authority imposes a duty, tax (other than income tax), levy, or fee, on this Agreement or on the Program itself, that is not otherwise provided for in the amount payable, Licensee agrees to pay it when IBM invoices Licensee. If the rate of GST changes, IBM may adjust the charge or other amount payable to take into account that change from the date the change becomes effective.

8.1 Limited Warranty

The following is added to Subsection 8.1 (Limited Warranty):

The warranties specified this Section are in addition to any rights Licensee may have under the Competition and Consumer Act 2010 or other legislation and are only limited to the extent permitted by the applicable legislation.

10.1 Items for Which IBM May be Liable

The following is added to Subsection 10.1 (Items for Which IBM May be Liable):

Where IBM is in breach of a condition or warranty implied by the Competition and Consumer Act 2010, IBM's liability is limited to the repair or replacement of the goods, or the supply of equivalent goods. Where that condition or warranty relates to right to sell, quiet possession or clear title, or the goods are of a kind ordinarily obtained for personal, domestic or household use or consumption, then none of the limitations in this paragraph apply.

HONG KONG SAR, MACAU SAR, AND TAIWAN

As applies to licenses obtained in Taiwan and the special administrative regions, phrases throughout this Agreement containing the word "country" (for example, "the country in which the original Licensee was granted the license" and "the country in which Licensee obtained the Program license") are replaced with the following:

- (1) In **Hong Kong SAR**: "Hong Kong SAR"
- (2) In **Macau SAR**: "Macau SAR" except in the Governing Law clause (Section 14.1)
- (3) In **Taiwan**: "Taiwan."

INDIA

10.1 Items for Which IBM May be Liable

The following replaces the terms of Items 1 and 2 of the first paragraph:

1) liability for bodily injury (including death) or damage to real property and tangible personal property will be limited to that caused by IBM's negligence; and 2) as to any other actual damage arising in any situation involving nonperformance by IBM pursuant to, or in any way related to the subject of this Agreement, IBM's liability will be limited to the charge paid by Licensee for the individual Program that is the subject of the claim.

13. General

The following replaces the terms of Item 13.g:

If no suit or other legal action is brought, within three years after the cause of action arose, in respect of any claim that either party may have against the other, the rights of the concerned party in respect of such claim will be forfeited and the other party will stand released from its obligations in respect of such claim.

INDONESIA

3.3 Term and Termination

The following is added to the last paragraph:

Both parties waive the provision of article 1266 of the Indonesian Civil Code, to the extent the article provision requires such court decree for the termination of an agreement creating mutual obligations.

JAPAN

13. General

The following is inserted after Item 13.f:

Any doubts concerning this Agreement will be initially resolved between us in good faith and in accordance with the principle of mutual trust.

MALAYSIA

10.2 Items for Which IBM Is not Liable

The word "SPECIAL" in Item 10.2b is deleted.

NEW ZEALAND

8.1 Limited Warranty

The following is added:

The warranties specified in this Section are in addition to any rights Licensee may have under the Consumer Guarantees Act 1993 or other legislation which cannot be excluded or limited. The Consumer Guarantees Act 1993 will not apply in respect of any goods which IBM provides, if Licensee requires the goods for the purposes of a business as defined in that Act.

10. Limitation of Liability

The following is added:

Where Programs are not obtained for the purposes of a business as defined in the Consumer Guarantees Act 1993, the limitations in this Section are subject to the limitations in that Act.

PEOPLE'S REPUBLIC OF CHINA

4. Charges

The following is added:

All banking charges incurred in the People's Republic of China will be borne by Licensee and those incurred outside the People's Republic of China will be borne by IBM.

PHILIPPINES

10.2 Items for Which IBM Is not Liable

The following replaces the terms of Item 10.2b:

- b. special (including nominal and exemplary damages), moral, incidental, or indirect damages or for any economic consequential damages; or

SINGAPORE

10.2 Items for Which IBM Is not Liable

The words "SPECIAL" and "ECONOMIC" are deleted from Item 10.2b.

13. General

The following replaces the terms of Item 13.i:

Subject to the rights provided to IBM's suppliers and Program developers as provided in Section 10 above (Limitation of Liability), a person who is not a party to this Agreement will have no right under the Contracts (Right of Third Parties) Act to enforce any of its terms.

TAIWAN

8.1 Limited Warranty

The last paragraph is deleted.

10.1 Items for Which IBM May Be Liable

The following sentences are deleted:

This limit also applies to any of IBM's subcontractors and Program developers. It is the maximum for which IBM and its subcontractors and Program developers are collectively responsible.

EUROPE, MIDDLE EAST, AFRICA (EMEA) COUNTRY AMENDMENTS

EUROPEAN UNION MEMBER STATES

8. Warranty and Exclusions

The following is added to Section 8 (Warranty and Exclusion):

In the European Union ("EU"), consumers have legal rights under applicable national legislation governing the sale of consumer goods. Such rights are not affected by the provisions set out in this Section 8 (Warranty and Exclusions). The territorial scope of the Limited Warranty is worldwide.

EU MEMBER STATES AND THE COUNTRIES IDENTIFIED BELOW

Iceland, Liechtenstein, Norway, Switzerland, Turkey, and any other European country that has enacted local data privacy or protection legislation similar to the EU model.

13. General

The following replaces Item 13.e:

- (1) **Definitions** – For the purposes of this Item 13.e, the following additional definitions apply:
 - (a) **Business Contact Information** – business-related contact information disclosed by Licensee to IBM, including names, job titles, business addresses, telephone numbers and email addresses of Licensee's employees and contractors. For Austria, Italy and Switzerland, Business Contact Information also includes information about Licensee and its contractors as legal entities (for example, Licensee's revenue data and other transactional information)
 - (b) **Business Contact Personnel** – Licensee employees and contractors to whom the Business Contact Information relates.
 - (c) **Data Protection Authority** – the authority established by the Data Protection and Electronic Communications Legislation in the applicable country or, for non-EU countries, the authority responsible for supervising the protection of personal data in that country, or (for any of the foregoing) any duly appointed successor entity thereto.
 - (d) **Data Protection & Electronic Communications Legislation** – (i) the applicable local legislation and regulations in force implementing the requirements of EU Directive 95/46/EC (on the protection of individuals with regard to the processing of personal data and on the free movement of such data) and of EU Directive 2002/58/EC (concerning the processing of personal data and the protection of privacy in the electronic communications sector); or (ii) for non-EU countries, the legislation and/or regulations passed in the applicable country relating to the protection of

personal data and the regulation of electronic communications involving personal data, including (for any of the foregoing) any statutory replacement or modification thereof.

- (e) **IBM Group** – International Business Machines Corporation of Armonk, New York, USA, its subsidiaries, and their respective Business Partners and subcontractors.
- (2) Licensee authorizes IBM:
 - (a) to process and use Business Contact Information within IBM Group in support of Licensee including the provision of support services, and for the purpose of furthering the business relationship between Licensee and IBM Group, including, without limitation, contacting Business Contact Personnel (by email or otherwise) and marketing IBM Group products and services (the "Specified Purpose"); and
 - (b) to disclose Business Contact Information to other members of IBM Group in pursuit of the Specified Purpose only.
 - (3) IBM agrees that all Business Contact Information will be processed in accordance with the Data Protection & Electronic Communications Legislation and will be used only for the Specified Purpose.
 - (4) To the extent required by the Data Protection & Electronic Communications Legislation, Licensee represents that (a) it has obtained (or will obtain) any consents from (and has issued (or will issue) any notices to) the Business Contact Personnel as are necessary in order to enable IBM Group to process and use the Business Contact Information for the Specified Purpose.
 - (5) Licensee authorizes IBM to transfer Business Contact Information outside the European Economic Area, provided that the transfer is made on contractual terms approved by the Data Protection Authority or the transfer is otherwise permitted under the Data Protection & Electronic Communications Legislation.

AUSTRIA

8.2 Exclusions

The following is deleted from the first paragraph:

MERCHANTABILITY, SATISFACTORY QUALITY

10. Limitation of Liability

The following is added:

The following limitations and exclusions of IBM's liability do not apply for damages caused by gross negligence or willful misconduct.

10.1 Items for Which IBM May Be Liable

The following replaces the first sentence in the first paragraph:

Circumstances may arise where, because of a default by IBM in the performance of its obligations under this Agreement or other liability, Licensee is entitled to recover damages from IBM.

In the second sentence of the first paragraph, delete entirely the parenthetical phrase:

"(including fundamental breach, negligence, misrepresentation, or other contract or tort claim)".

10.2 Items for Which IBM Is Not Liable

The following replaces Item 10.2b:

b. indirect damages or consequential damages; or

BELGIUM, FRANCE, ITALY, AND LUXEMBOURG

10. Limitation of Liability

The following replaces the terms of Section 10 (Limitation of Liability) in its entirety:

Except as otherwise provided by mandatory law:

10.1 Items for Which IBM May Be Liable

IBM's entire liability for all claims in the aggregate for any damages and losses that may arise as a consequence of the fulfillment of its obligations under or in connection with this Agreement or due to any other cause related to this Agreement is limited to the compensation of only those damages and losses proved and actually arising as an immediate and direct consequence of the non-fulfillment of such obligations (if IBM is at fault) or of such cause, for a maximum amount equal to the charges (if the Program is subject to fixed term charges, up to twelve months' charges) Licensee paid for the Program that has caused the damages.

The above limitation will not apply to damages for bodily injuries (including death) and damages to real property and tangible personal property for which IBM is legally liable.

10.2 Items for Which IBM Is Not Liable

UNDER NO CIRCUMSTANCES IS IBM OR ANY OF ITS PROGRAM DEVELOPERS LIABLE FOR ANY OF THE FOLLOWING, EVEN IF INFORMED OF THEIR POSSIBILITY: 1) LOSS OF, OR DAMAGE TO, DATA; 2) INCIDENTAL, EXEMPLARY OR INDIRECT DAMAGES, OR FOR ANY ECONOMIC CONSEQUENTIAL DAMAGES; AND / OR 3) LOST PROFITS, BUSINESS, REVENUE, GOODWILL, OR ANTICIPATED SAVINGS, EVEN IF THEY ARISE AS AN IMMEDIATE CONSEQUENCE OF THE EVENT THAT GENERATED THE DAMAGES.

10.3 Suppliers and Program Developers

The limitation and exclusion of liability herein agreed applies not only to the activities performed by IBM but also to the activities performed by its suppliers and Program developers, and represents the maximum amount for which IBM as well as its suppliers and Program developers are collectively responsible.

GERMANY

8.1 Limited Warranty

The following is inserted at the beginning of Section 8.1:

The Warranty Period is twelve months from the date of delivery of the Program to the original Licensee.

8.2 Exclusions

Section 8.2 is deleted in its entirety and replaced with the following:

Section 8.1 defines IBM's entire warranty obligations to Licensee except as otherwise required by applicable statutory law.

10. Limitation of Liability

The following replaces the Limitation of Liability section in its entirety:

- a. IBM will be liable without limit for 1) loss or damage caused by a breach of an express guarantee; 2) damages or losses resulting in bodily injury (including death); and 3) damages caused intentionally or by gross negligence.
- b. In the event of loss, damage and frustrated expenditures caused by slight negligence or in breach of essential contractual obligations, IBM will be liable, regardless of the basis on which Licensee is entitled to claim damages from IBM (including fundamental breach, negligence, misrepresentation, or other contract or tort claim), per claim only up to the greater of 500,000 euro or the charges (if the Program is subject to fixed term charges, up to 12 months' charges) Licensee paid for the Program that caused the loss or damage. A number of defaults which together result in, or contribute to, substantially the same loss or damage will be treated as one default.
- c. In the event of loss, damage and frustrated expenditures caused by slight negligence, IBM will not be liable for indirect or consequential damages, even if IBM was informed about the possibility of such loss or damage.
- d. In case of delay on IBM's part: 1) IBM will pay to Licensee an amount not exceeding the loss or damage caused by IBM's delay and 2) IBM will be liable only in respect of the resulting damages that Licensee suffers, subject to the provisions of Items a and b above.

13. General

The following replaces the provisions of 13.g:

Any claims resulting from this Agreement are subject to a limitation period of three years, except as stated in Section 8.1 (Limited Warranty) of this Agreement.

The following replaces the provisions of 13.i:

No right or cause of action for any third party is created by this Agreement, nor is IBM responsible for any third party claims against Licensee, except (to the extent permitted in Section 10 (Limitation of Liability)) for: i) bodily injury (including death); or ii) damage to real or tangible personal property for which (in either case) IBM is legally liable to that third party.

IRELAND

8.2 Exclusions

The following paragraph is added:

Except as expressly provided in these terms and conditions, or Section 12 of the Sale of Goods Act 1893 as amended by the Sale of Goods and Supply of Services Act, 1980 (the "1980 Act"), all conditions or warranties (express or implied, statutory or otherwise) are hereby excluded including, without limitation, any warranties implied by the Sale of Goods Act 1893 as amended by the 1980 Act (including, for the avoidance of doubt, Section 39 of the 1980 Act).

IRELAND AND UNITED KINGDOM

2. Agreement Structure

The following sentence is added:

Nothing in this paragraph shall have the effect of excluding or limiting liability for fraud.

10.1 Items for Which IBM May Be Liable

The following replaces the first paragraph of the Subsection:

For the purposes of this section, a "Default" means any act, statement, omission or negligence on the part of IBM in connection with, or in relation to, the subject matter of an Agreement in respect of which IBM is legally liable to Licensee, whether in contract or in tort. A number of Defaults which together result in, or contribute to, substantially the same loss or damage will be treated as one Default.

Circumstances may arise where, because of a Default by IBM in the performance of its obligations under this Agreement or other liability, Licensee is entitled to recover damages from IBM. Regardless of the basis on which Licensee is entitled to claim damages from IBM and except as expressly required by law without the possibility of contractual waiver, IBM's entire liability for any one Default will not exceed the amount of any direct damages, to the extent actually suffered by Licensee as an immediate and direct consequence of the default, up to the greater of (1) 500,000 euro (or the equivalent in local currency) or (2) 125% of the charges (if the Program is subject to fixed term charges, up to 12 months' charges) for the Program that is the subject of the claim. Notwithstanding the foregoing, the amount of any damages for bodily injury (including death) and damage to real property and tangible personal property for which IBM is legally liable is not subject to such limitation.

10.2 Items for Which IBM is Not Liable

The following replaces Items 10.2b and 10.2c:

- b. special, incidental, exemplary, or indirect damages or consequential damages; or
- c. wasted management time or lost profits, business, revenue, goodwill, or anticipated savings.

Appendix G

SAS Software – SAS PC Software License Terms

The SAS PC Software described in Optum's Technical Proposal shall be licensed to the State based on the manufacturer's standard, GSA Schedule 70 license terms for such software available from Executive Information Systems, LLC ("EIS"), the manufacturer's sole distributor of SAS Software licenses off of the GSA Schedule 70, a copy of which is attached to this Appendix G, with the understanding that these license terms have either been accepted by the State in direct procurements or that SAS Institute, Inc. ("SAS") or EIS may consider negotiating changes if requested.

9. TERMS AND CONDITIONS APPLICABLE TO THE PURCHASE OF SAS INSTITUTE SOFTWARE

The terms and conditions of this Section, along with the applicable purchase order govern the license hereunder of software products ("Software") of SAS Institute Inc. (the "Institute" or "SAS").

Each purchase order to this Agreement ("PO") identifies the specific government entity ("Customer") authorized to use the Software listed on that purchase order. Each PO is a separate agreement, which incorporates the terms of this Agreement.

a. License Grant

- (1) The Software products and versions available under this Agreement are set forth in Price List. Upon receipt of an acceptable order, EIS will provide to the Government entity placing the order the production release for the Software identified on the purchase order for the applicable operating system and hardware. For desktop and server based Software, the version of the Software will be specified.
- (2) The desktop and server based Software provided under this Agreement will be authorized to operate for fifty (50) years. The utility contained in the Software that will

authorize it to operate for fifty years is confidential and a trade secret of EIS or its licensors, which is not discernible or disclosed during authorized use, to which access is not authorized by anyone who receives or uses the Software under this Agreement.

- (3) The mainframe software licensed under this Agreement is on an annual basis. The mainframe software may be renewed at the mutual agreement of the parties. The first license period will be for 12 months. The first renewal period will be from the expiration of the first period through the following September 30th. Thereafter, renewal periods will be from each October 1 through September 30
- (4) The Software is licensed (1) on a per server basis for use with the supported operating system designated on the order; (2) for an unlimited number of users or on a user increment basis for a specified number of users, or (3) on a per mainframe basis for use with the supported operating system designated on the order. The order will specify if the Software is licensed on a per-server, user increment basis or per mainframe. If the Software is licensed on a per-server or per mainframe basis, each copy of Software must only be installed on individual CPUs. If the Software is licensed on a user-increment basis, the total number of individuals who access the Software during the license period must be counted and included in the user increment licensed

b. Indemnification

If a claim of copyright, patent, trade secret, or other intellectual property rights violation is made against Customer relating to the Software, EIS (or its designee) agrees to indemnify the Customer by paying any settlement approved by EIS (or its designee), or any judgment, costs, or attorneys' fees finally awarded against the Customer for such claim. The parties agree to cooperate with each other in the investigation, defense and/or settlement thereof. This indemnification obligation shall not apply unless EIS has been informed as soon as practicable by Customer of the claim and EIS (or its designee) has been given such opportunity as is afforded by applicable law to participate in its defense, at its own expense. This indemnification obligation does not apply to the extent the claim is based on a combination of Institute Software with other software or a Customer modification to the Software if such claim would not have been made but for the combination or modification.

If such a claim is made or, in EIS' (or its designee's) opinion, is likely to be made, EIS (or its designee), at its option, may modify the Software, obtain rights for the Customer to continue using the Software, or terminate the license for the Software product at issue and refund the current license fee paid by Customer. Customer agrees to abide by EIS' (or its designee's) decision and, if appropriate, install a different version of the Software or stop using the Software.

c. Customer Responsibilities

- (1) So the Customer can properly update and distribute information needed to keep the Software functioning properly and account for authorized hardware, the Customer will define in each order the hardware on which the Software is installed and the business addresses and points of contact of those locations.
- (2) If the Customer believes the Software is being used in violation of this Agreement, Customer will promptly notify EIS in writing and will cooperate in EIS' investigation and resolution of the situation.
- (3) The Customer will not permit anyone having access to the Software to:
 - a. Reverse assemble or decompile the Software; or
 - b. Mask, modify, or suppress any copyright notices or other proprietary rights notices, or fail to properly label any authorized copy; or
 - c. Time-share, rent, outsource, or otherwise use the Software except as specifically permitted in this Agreement.

d. Authorized Use

Subject exclusively to the terms of this Agreement, authorized use is restricted to Customer's employees and Customer's authorized short-term on-site contractors who receive the Software under the Federal Supply Schedule.

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Appendix H

Pitney Bowes – MapInfo Software License Terms

The MapInfo Software described in Optum's Technical Proposal shall be licensed to the State based on the standard end user license terms from the manufacturer, Pitney Bowes Software Inc. ("Pitney Bowes") a copy of which is attached to this Appendix H, with the understanding that these license terms have either been accepted by the State in direct procurements or that Pitney Bowes may consider negotiating changes if requested.

Pitney Bowes Software Inc. and Data End User License Agreement

IMPORTANT: DO NOT OPEN THIS PACKAGE OR INSTALL OR USE THIS PRODUCT UNTIL YOU HAVE READ AND AGREED TO THIS LICENSE AGREEMENT. This is an agreement between you and the Pitney Bowes Software Inc. Corporation (“PBSI”). By breaking the seal and opening this package or by clicking next to “I ACCEPT THE TERMS IN THE LICENSE AGREEMENT” in an installation process, you are agreeing to the terms of this Software and Data End User License Agreement and your Order Form (collectively, the “Agreement”). IF YOU ARE NOT WILLING TO BE BOUND BY THE AGREEMENT, do not open the package or, if you are viewing this message at installation, click next to “I DO NOT ACCEPT THE TERMS IN THE LICENSE AGREEMENT” and terminate the installation process. You may receive a full refund for this product by returning the media and accompanying materials within thirty (30) days of receipt to PBSI or its authorized reseller. If you and PBSI signed a separate license agreement for these products, the terms of the signed agreement, to the extent they are additional or inconsistent, supersede the terms of this Agreement.

This license permits you to use the Products for your internal business purposes only.

- You may not provide these products to third parties or perform commercial services for third parties using these products.
- You may not use these products in an application service provider model, except as provided below.
- You may install the Products only for the number of named users or the server or processor capacity specified in your Order Form.
- You may not make derivative works of the Products.
- Product-specific limitations are included in section 11(h).

Capitalized terms used in this Agreement have the meanings assigned to them in section 11(j) or elsewhere in this Agreement. The terms “Customer”, “you” and “your” refer to the entity or person who purchased this license. “PBSI” or “We” “us” and “our” refer to Pitney Bowes Software Inc. Corporation.

1. License Grant; Ownership.

a. License. Subject to your compliance with the terms and conditions of this Agreement (including the payment of all required fees), PBSI grants you a limited, non-exclusive, non-transferable right and license to install and use the Products in accordance with the terms of this Agreement. We are not selling the Products to you. PBSI and its third party providers retain title to and ownership of the Products (and any portion thereof) and Documentation. PBSI and its third party providers reserve all rights not expressly granted to you under this Agreement.

b. Entitlement. Upon purchase, PBSI will create, on your behalf; an Entitlement representing your rights to activate licenses for certain designated PBSI products. An Entitlement allows you to receive a license by activating the products specified within the Entitlement in accordance with the instructions provided with those Products. Each activation within an Entitlement may only be used once. Exceeding the number of activations to which you are entitled may result in additional license fees, or may prohibit the Product from operating.

2. Use Rights; License Types.

a. Generally. You may use the Products solely for your internal business purposes subject to the restrictions in this Agreement. The Section entitled “Product-Specific Terms” contains special use rights and restrictions for particular Products. The term of the license we grant to you for the Products is perpetual unless you expressly specify otherwise in this Agreement, on the Order Form, or in a written amendment to this Agreement.

b. Named User Licenses. You may install and use Products on an individual Device or on a Server, so long as the number of Devices on which you install the Products or the number of Named Users permitted to access the Products from the central Server does not exceed the number of Named Users specified on the Order Form.

c. Concurrent User License. You are allowed an unlimited number of installs of the Product but the number of users who can simultaneously access the Product are limited to no more than the number of licenses purchased.

d. Server Licenses.

i Power Unit and CPU Licenses. You may install the Products on one or more Servers so long as the aggregate number of Power Units or CPUs in all processors in those Servers does not exceed the number of Power Units or CPUs specified on the Order Form.

ii Single Application User or SAU Licenses. You may install the Products on one or more central Servers as part of a single application that operates with the Products. The number of individuals in your organization with access to the application may not exceed the number of Single Application Users specified on the Order Form. To use Products with additional applications, you must acquire additional Single Application User licenses or purchase a Power Units or CPU license.

iii Development Licenses. If you have a Power Unit, CPU or SAU license, you may install Products on additional Servers with up to the aggregate number of CPUs, Power Units or SAUs permitted under that license solely for testing and development of your applications that work with our Products. For example, if you have a 2 CPU license, you may install the products on an additional 2 CPUs for development and testing.

iv. Transaction Licenses. You may install Products on one or more Servers to conduct the number of Transactions that you have licensed on the Order Form. A Transaction License terminates at the end of the License Term specified on the Order Form and makes the Product licensed on a Transaction basis a Limited Term Product. A “Transaction” is defined as a user query to and successful response from the Products. If you have purchased a Transaction License, you agree to purchase the number of Transactions specified on the Order Form. You may purchase additional Transactions at the then-current Transaction rate, which will begin a new annual Term. You will be provided a pro-rated credit for unused maintenance and support at the time of purchase. Transactions purchased may not be carried over into subsequent annual periods. YOU MUST CONNECT YOUR APPLICATION RUNNING ENVINSA ON A TRANSACTION BASIS TO THE PBSI TRANSACTION SERVER TO MONITOR AND REPORT TRANSACTION CONSUMPTION.

v. Asset Tracking License. You may purchase Envinsa on an Asset-Tracking basis. The definitions and license restrictions are set forth in a separate rider that must be executed by both parties and incorporate the terms of this Agreement by reference.

e. Backup Copies. You may make a reasonable number of copies of the Products solely for backup or disaster recovery purposes. You must maintain PBSI and third party licensor information, including copyright notices, on backup copies and keep the copies in a secure location. If you have a

Server License, you may install the Products on a backup Server to be used only when your main Server is inoperable and only so long as the number of Power Units, CPUs or SAUs on the backup Server does not exceed what is licensed on the Order Form. Backup copies and additional installations may require additional activations within an Entitlement or additional Entitlements, which may result in additional fees.

3. General Use Restrictions. You may not: (i) reverse engineer, decompile or disassemble the Products; (ii) make Derivative Works of the Software Products; (iii) make copies of the Products, except as permitted in Section 2(e); (iv) sublicense, rent, lease, lend or host the Products to or for other parties; (v) install and/or use components of the Products separately and independently of the Products they comprise unless otherwise permitted; (vi) use Products to translate a third party's products unless you have the legal right to do so; (vii) attempt to unlock or bypass any initialization system, encryption methods or copy protection device we incorporate in the Products; (viii) alter, remove or obscure any patent, copyright or trademark notice contained in the Products; (ix) use the Products in a "concurrent use" or "floating license" manner unless you have purchased the Entitlement for this license model; or (x) use the Products in revenue-generating Internet-based services as an Application Service Provider ("ASP") without an amendment to this Agreement signed by both parties. Notwithstanding the foregoing, if you have a Server License, you may use the Products in Internet applications or services that you provide free of charge either to the public or your customers solely to market your products or services provided you purchase Maintenance and use the most current version of the Products.

4. Additional Restrictions: Data Products.

You may use Data Products to produce Data Output internally for your business purposes and you may deliver the Data Output to third parties solely to market your products or services. You must prohibit those third parties from selling, sublicensing or disclosing the Data Output to additional third parties and from using the Data Output for any purpose other than evaluating your products or services. You may use Data Products to derive conclusions or recommendations that form part of your services to third parties, but you may not provide Data Output or Data Products as part of those services. You may translate Data Products into other data formats so long as your use of the Data Products in all formats does not exceed the limits of this Agreement. You may not: (i) give third parties access to the data Products or perform services for third parties using the data Products on a Service Bureau basis; (ii) distribute or display to any third party the numerical cluster codes or the longitude and latitude or "x,y" coordinates contained in the Data Output; (iii) sell or provide Data Output to third parties as part of your products or services unless you and we agree in writing; (iv) use the Data Products in an Automatic Vehicle Location System which you provide for use by third parties; or (v) download to a desktop computer or client-side machine any Data Products or portions of Data Products that you have licensed from us on a Server License.

5. Updates; Maintenance; Technical Support; Services.

a. **Data Updates.** If you have purchased an update subscription for data Products and paid the applicable annual fees, we will deliver updates to those Products with the frequency and for the period specified on the Order Form. Data updates replace data Products you initially licensed from us and that made you eligible for the data update.

b. **Software Maintenance.** If you have purchased maintenance and paid the annual fees for particular software Products, PBSI will deliver updates and upgrades to those Products as they become commercially available. We do not guarantee that we will update or upgrade software Products on any particular schedule. Upon delivery, updates and upgrades will be considered "Products" for all purposes hereunder. Updates and upgrades replace Products that you initially licensed from us and that made you eligible for the update or upgrade.

c. **Technical Support.** If you have purchased technical support from us, we will provide you with the technical support described on our web site at <http://www.pbinsight.com/>.

d. **Services.** PBSI will provide basic services such as pre-installation preparation, on-site installation and post-installation review as set forth in the Order Form ("Services"). Enhanced customization or software development services require a separate professional services agreement. PBSI retains all right, title and interest in and to all intellectual property that it generates, conceives or develops as part of the Services, including, without limitation, inventions conceived or reduced to practice and any resulting patents, and any works of authorship in any form of expression including, without limitation, manuals and software ("PBSI Materials"). Your use of PBSI Materials is subject to all the restrictions applicable to Products. Any changes to the Services must be approved by both parties in writing and may involve an increase in cost or time estimated to complete the Services.

6. Confidentiality. (a) From time to time, either party (the "Disclosing Party") may disclose or make available to the other party (the "Receiving Party"), whether orally or in physical form, confidential or proprietary information concerning the disclosing party and/or its business, products or services ("Confidential Information") in connection with this Agreement. The Receiving Party agrees that during the term of this Agreement and thereafter: (i) it will use Confidential Information belonging to the Disclosing Party solely for the purposes of this Agreement; and (ii) it will take all reasonable precautions to ensure that it does not disclose Confidential Information belonging to the Disclosing Party to any third party (other than the Receiving Party's employees and/or professional advisors who need to know the Confidential Information for purposes of carrying out this Agreement and who are bound by obligations of confidentiality to the Receiving Party) without first obtaining the Disclosing Party's written consent. Upon request by the Disclosing Party, the Receiving Party will return all copies of any Confidential Information to the Disclosing Party. These confidentiality obligations will expire 3 years after the termination or expiration of this Agreement. The Recipient will be responsible for any breach of this Section by its employees, representatives, and agents. (b) **Exclusions.** For purposes hereof, "Confidential Information" will not include any information that the Receiving Party can establish by convincing written evidence: (i) was independently developed by the Receiving Party without use of or reference to any Confidential Information belonging to the Disclosing Party; (ii) was acquired by the Receiving Party from a third party having the legal right to furnish same to the Receiving Party; or (iii) was at the time in question (whether at disclosure or thereafter) generally known by or available to the public (through no fault of the Receiving Party). (c) **Required Disclosures.** If the Receiving Party is required to disclose Confidential Information under order of a court or any government agency, the Receiving Party will promptly notify the Disclosing Party in writing of such order unless prohibited by law and cooperate with the Disclosing Party to secure confidential treatment of the Confidential Information.

7. Warranties.

a. **Limited Product Warranty.** We warrant that the media containing the Products will be free from material defects for a period of ninety (90) days from the date we ship the Products to you. To the maximum extent permitted by law, any warranties that the law imposes will be similarly limited in scope and duration. This warranty does not apply if the defects result from accident or abuse by someone other than us. If you notify us during the warranty

period that a Product does not satisfy this warranty, then we may elect to either return to you the initial price you paid for the license, or repair or replace the Product. To the maximum extent permitted by law, this is your exclusive remedy for the failure of any Product to meet this warranty.

b. DISCLAIMER. WE DO NOT WARRANT THAT THE PRODUCTS WILL OPERATE ERROR-FREE OR THAT WE WILL CORRECT ALL PRODUCT ERRORS. TO THE EXTENT PERMITTED BY APPLICABLE LAW, WE DISCLAIM AND EXCLUDE ALL REPRESENTATIONS, WARRANTIES AND CONDITIONS WITH RESPECT TO PRODUCTS, WHETHER EXPRESS, IMPLIED OR STATUTORY, OTHER THAN THOSE EXPRESSLY IDENTIFIED IN THIS AGREEMENT, INCLUDING, WITHOUT LIMITATION, WARRANTIES OF NON-INFRINGEMENT, TITLE, SATISFACTORY QUALITY, ACCURACY, RELIABILITY, MERCHANTABILITY, AND FITNESS FOR A PARTICULAR PURPOSE. TO THE MAXIMUM EXTENT PERMITTED BY LAW, OUR ENTIRE LIABILITY, AND YOUR ONLY REMEDY, FOR A BREACH OF A WARRANTY WILL BE EITHER REPAIR OR REPLACEMENT OF THE PRODUCT AT ISSUE, OR RETURN OF THE FEES YOU PAID FOR THE PRODUCT OR SERVICES.

8. Indemnification; Liability.

a. Indemnification. We will defend and indemnify you for a claim by an unaffiliated third party that the Products infringe that party's patent, copyright or other intellectual property right issued and existing as of the Effective Date, and will pay the amount of any resulting adverse final judgment issued by a court of competent jurisdiction or of any settlement that we pre-approve in writing; provided that you promptly notify PBSI in writing of any such claim, give us reasonable cooperation, information, and assistance in connection with it, and consent to PBSI's sole control and authority with respect to the defense, settlement or compromise of the claim. We will not be obligated under this section if the infringement results from: (i) your use of a previous version of a Product that would have been avoided had you used the current version of the Product; (ii) your combining the Products with devices or products not provided or authorized by PBSI, (iii) use of the Products in applications, business environments or processes for which the Products were not designed or contemplated, and where use of the Products outside such application, environment or business process would not have given rise to the claim, (iv) corrections, modifications, alterations or enhancements that you make to the Product; (v) use of the Products by any person or entity other than you or your employees; or (vi) your willful infringement.

b. Enjoined Use. If we believe a Product may be or is subject to an infringement claim, or if a court of competent jurisdiction enjoins your use of a Product as a result of an infringement claim, we may, at our expense and our discretion: (a) procure for you the right to continue using the Product; (b) modify the Product to make it non-infringing; or (c) replace it with a functional non-infringing equivalent. If we believe that none of these options is reasonably available, then we may terminate the license to the allegedly infringing Product and our sole liability will be to refund to you the license fees you paid for such Products, prorated over a five (5) year period from the date of their delivery to you.

c. Customer Indemnification. You will defend, indemnify and hold PBSI and its third party licensors harmless from any and all liabilities, damages, losses, expenses, demands, claims, suits or judgments, including reasonable attorneys' fees, costs and expenses arising from your unauthorized use of any Product. PBSI will promptly notify you in writing of any such claim, give you reasonable cooperation, information and assistance in connection with it, and consent to your sole control and authority with respect to the defense, settlement or compromise of the claim. Neither PBSI nor its third party licensors will be responsible for any direct or indirect loss or damage that may result from such unauthorized use.

d. LIMITATION OF LIABILITY. PBSI AND ITS THIRD PARTY LICENSORS WILL NOT BE LIABLE IN ANY EVENT TO YOU OR ANY OTHER PERSON, REGARDLESS OF THE CAUSE, FOR THE EFFECTIVENESS OR ACCURACY OF THE PRODUCTS, FOR THE COST OF PROCURING REPLACEMENT GOODS OR SERVICES, OR FOR LOST PROFITS OR LOST SALES, OR FOR ANY SPECIAL, INDIRECT, INCIDENTAL, PUNITIVE, EXEMPLARY, MULTIPLE OR CONSEQUENTIAL DAMAGES ARISING FROM OR OCCASIONED BY YOUR USE OF THE PRODUCTS, EVEN IF ADVISED OF THE POSSIBILITY OF SUCH DAMAGES.

e. MAXIMUM LIABILITY. IN ANY EVENT, PBSI'S MAXIMUM LIABILITY FOR ANY CLAIM ARISING IN CONNECTION WITH THIS AGREEMENT WILL NOT EXCEED THE FEES YOU HAVE PAID WITH RESPECT TO THE PRODUCTS OR SERVICES AT ISSUE.

f. APPLICABILITY OF DISCLAIMERS AND LIMITATIONS. You agree that PBSI has set its prices and entered into this Agreement in reliance upon the disclaimers and limitations in this section and that these disclaimers and limitations allocate risk between you and PBSI and are an essential part of the bargain between us.

9. Audit/Reporting. Upon five (5) business days written notice, we may audit your use of the Products at your place(s) of business during normal working hours. Additionally, within thirty (30) days after receiving our written request, you will give us a written certification, in a form that we provide and signed by an officer of your organization that you are complying with this Agreement. PBSI will make no more than one audit and/or one certification request in any twelve (12) month period. If our audit or your certification reveals that your actual use of the Products exceeds your licensed use or is otherwise not compliant with this Agreement, you will purchase Product licenses for your unlicensed use and, if the excess is greater than five per cent (5%), pay all our reasonable costs related to the audit.

10. Term; Termination.

a. Termination. If you breach the terms of this Agreement and fail to cure the breach within thirty (30) days after receipt of written notice of the breach, PBSI may immediately terminate this Agreement (including all licenses granted hereunder) with no further obligation to you. When a license for any Product terminates for any reason, you must destroy the Product and all copies and, if we request, certify to us in writing that you have done so.

b. Limited Term Products. The term of the license we grant you for certain Products may be limited and will be specified on the Order Form ("Limited Term Products"). When the license for a Limited Term Product expires, you must (i) stop using the Limited Term Product and remove all copies of it and any Derived Data based on it from all computers and Servers on which it has been installed, (ii) destroy all copies of the Limited Term Product in your possession, and (iii) if the license is for PSYTE or MRI Data, remove all reports, listings or computer files that identify the unique relationship between a person, household or neighborhood geographic unit (such as a Block Group or ZIP code) and its PSYTE Cluster from all personal computers and Servers on which they have been installed. Limited Term Products include, without limitation, PSYTE, MRI data, PSAP Pro, WinSITE, Perform and Envinsa Transaction-based, Named User SAU and Asset-Tracking license models.

11. Miscellaneous.

a. Entire Agreement; Amendment. This Agreement and the documents referred to in this Agreement, including the Order Form, constitute the entire and only agreement and understanding between the parties relating to the Products and supersedes all prior or contemporaneous agreements. The terms of this Agreement supersede the terms in any purchase order or other document you give us. This agreement may be modified only in a writing signed by you and PBSI.

- b. Governing Law.** The laws of the State of New York, U.S.A. will govern this contract and any interpretation of it. New York's principles of conflicts of law and the U.N. Convention on Contracts for the International Sale of Goods will not apply. You agree to exclusive jurisdiction of New York State federal and state courts sitting in Albany or Rensselaer counties for resolution of any dispute related to this Agreement.
- c. Waiver; Severability.** Either party's failure to enforce any provision of this Agreement will not constitute a waiver of the provision or of the party's right to enforce the provision. If any provision of this Agreement is held invalid or unenforceable, the remainder of the Agreement will not be affected or impaired in any way. If the provision in question would be valid or enforceable if modified, then the provision will apply with the modification necessary to make it valid and enforceable.
- d. Notices.** Any notices sent to a party to this Agreement must be in writing, addressed to the party at the address on the Order Form or any other address that the party specifies from time to time, and will be deemed given if delivered personally, via facsimile, regular mail, nationally-recognized overnight courier or by registered or certified mail. Notices will be deemed received in the case of personal delivery or facsimile on the date when delivered or faxed, in the case of overnight courier on the date delivered, and in the case of regular, registered or certified mail three (3) days after deposit with the postal service.
- e. Assignment.** You may not assign, sublicense or transfer your rights or delegate your obligations under this Agreement without our written consent. Any attempt by you to transfer this Agreement without our consent will be void, the transferee will acquire no rights whatsoever, and PBSI will not be required to recognize the transfer. This provision limits both the right and the power to transfer this Agreement and the rights hereunder.
- f. Force Majeure.** PBSI will not be deemed in default under this Agreement as a result of any delay in the performance of its obligations due to causes beyond its reasonable control.
- g. Export.** You agree not to export, reexport, or provide the Products to (i) any country to which the United States has embargoed goods; (ii) any person on the U.S. Treasury Department's list of Specially Designated Nationals; (iii) any person or entity on the U.S. Commerce Department's Denied Persons List; or (iv) any person or entity where such export, reexport or provision violates any U.S. Export control or regulation.
- h. Product-Specific Terms.** If you purchase a license for any Product named below, you agree to the following additional terms, as applicable.
- (i) **Aerial Imagery.** If you create graphic images using AirPhotoUSA's aerial imagery or eDOQmapper imagery and post them to your Internet site, you will ensure that they are in a static format that does not allow copying or downloading of the image. You may not post these graphic images to any third party's Internet site.
- (ii) **AnySite.** If you receive Envinsa or Envinsa OnLine Services for geocoding with AnySite, you may use Envinsa only with AnySite, only for the purpose of geocoding addresses, and only for the geographic area indicated on the Order Form. Envinsa and Envinsa OnLine Services are licensed on a Limited Term basis for use with AnySite, so you must renew your AnySite update subscription annually for continued use of Envinsa or Envinsa OnLine.
- (iii) **AnySite Online.** If you have subscribed to AnySite Online, your use of this Product is not governed by the terms of this license, but is governed by the terms and conditions of the AnySite Online click-through license agreement you must agree to prior to accessing the Product.
- (iv) **Business Points Data.** You may use Business Points Data solely for market research and analysis, including analysis of your market for opportunities or competitive threats, assigning sales territories, or building sales and marketing strategies. You may not use Business Points Data for direct marketing activities including direct mailing, telemarketing, or cold calling.
- (v) **Delivery Point Validation ("DPV").** You may use DPV solely to determine whether particular mailing addresses in your possession are valid. You may not use DPV to compile a list of delivery points not in your possession prior to using the Product, or create other derivative products based upon information received through or from DPV. No portion of the DPV product or any address lists or other records that contain address attributes updated or derived through DPV processing may be rented, sold, distributed or otherwise provided in whole or in part to any third party for any purpose.
- (vi) **Demographic Data.** If you are acquiring a license to any demographic Data Product, including but not limited to PSYTE Segmentation Data, you hereby represent that you are not an automobile manufacturer or dealer and are not an owner or marketer of lists of names and addresses or a provider of "list hygiene" services.
- (vii) **Envinsa.** Notwithstanding anything to the contrary contained elsewhere in this Agreement, if you have purchased Envinsa and licensed Data Products for use with Envinsa, you may display Data Output in your applications. You must prohibit your customers from selling, sublicensing or disclosing the Data Output to additional parties and from using the Data Output for any purpose other than as part of your application(s). If you use Envinsa as an ASP, you must license Envinsa on a Transaction or Asset-Tracking basis. You may not use Envinsa licensed on a CPU basis as an ASP.
- (viii) **Envinsa OnLine Services for MapInfo Professional users.** If you have purchased Transactions for Envinsa OnLine Services through MapInfo Professional, your use of Envinsa is governed by the terms and conditions of the Envinsa On Line Services click-through license agreement you must agree to prior to accessing the service.
- (ix) **Location Intelligence Component.** The Location Intelligence Component ("LIC") contains a set of integrated Products, including software and sample data sets. The Products included in the LIC may be used only with the LIC, and may not be used to enhance or develop any other applications. You may access the Products to enhance the functionality of the LIC. However, any enhancements are done at your own risk. We have no obligation to support enhancements you develop, and make no guarantee that such enhancements may be inherited by future versions of the LIC.
- (x) **MapInfo Discovery.** You may not use MapInfo Discovery to transmit or otherwise make available to any other person a map that contains or is created using our Data Products, unless (a) such other person has a valid Named User or Server License for the Data Products or (b) you have a valid Server License that authorizes you to display the maps to such other person.
- (xi) **MapMarker, MapMarker PLUS and Routing J Server for local governments.** If you are a local government and license these Products for a geographical area equivalent to a county, you may use data only for the county for which you are licensed, even if PBSI delivers a dataset for an entire state.
- (xii) **MapMarker Streets, MapMarker Plus Streets.** If you have licensed MapMarker Streets or MapMarker Plus Streets on a server basis, you may use the Product only within your organization, and not on a public-facing or customer-facing Internet application.
- i. U.S. Government Restricted Rights.** If you are an agency of the United States Government, you agree that Product(s) are "commercial computer software" or "commercial computer software documentation" and the Governments rights with respect to such software documentation are limited by the terms of this License Agreement, pursuant to FAR § 12.212(a) and/or DFARS § 227.7202-1(a), as applicable.
- j. Definitions.** "Application Service Provider" means an entity or person who hosts a computer application and provides third parties access to its functionality over the Internet or other network. "Automatic Vehicle Location System" means a vehicle-installed system containing one or more of the following: (i) a storage device to hold Data Products or portions thereof, (ii) a gyroscope, or (iii) a device to detect vehicle wheel rotation. "CPU" means a central processing unit in a computer regardless of its megahertz capacity. "Data Output" means the maps, reports or other information that you generate by analyzing or processing Data Products, including geocode coordinates or cluster segmentation assignments appended to your database records. "Derived Data" means the result generated by combining, or performing mathematical calculations on, variables or fields of Data Products, extracting subsets of Data Products, and combining Data Products or portions of them with your data or third party data. "Derivative Works" means a work that is based upon, or that

translates, recasts or adapts a Product. “**Device**” means a single personal computer, laptop, workstation, terminal, personal digital assistant, or other computing device. “**Documentation**” means the user documentation that accompanies the Products. “**Effective Date**” means the date when the parties entered into this Agreement. “**Entitlement**” is a proof of purchase of a particular type and number of Licenses. “**Maintenance**” means PBSI’s delivery to you of updates or upgrades to Software Products as they become commercially available. “**Named User**” means a single named person. “**Order Form**” means the order form attached to this license or other ordering documentation such as your purchase order. “**Power Unit**” means one megahertz of power in a CPU. “**Products**” means the Software Products or Data Products we license to you under this Agreement. “**Server**” means a computer with one or more central processing units that provides services to other computers over a network. “**Server License**” means a Power Unit, CPU or SAU license. “**Service Bureau**” means a data processing center performing processing, cleansing, analysis and other services on data for third parties. “**Single Application User**” or “**SAU**” means a single named person or Device authorized to access a single application.

TERMS GOVERNING USE OF THE MICROSOFT BING® SERVICE

The following terms govern your use of the BING Service (the “Service”). By accessing or using the Service, you are agreeing to the terms of the Microsoft Bing Maps and MapPoint Web Service Terms of Use located at <http://go.microsoft.com/?linkid=9710837> (the “EULA”) and the additional terms set forth below (collectively, the “Agreement”). Terms of Use for the Embedded Map Service also apply if you use the Service in your web sites or applications. **DO NOT USE THE SERVICE UNTIL YOU HAVE READ AND AGREED TO THIS AGREEMENT. IF YOU ARE NOT WILLING TO BE BOUND BY THE AGREEMENT, do not access or use the Service.** Any conflict between the terms of the EULA and this license shall be resolved in favor of this license as it relates to Your use of the Service.

- 1. Maintenance.** You may use the Service only with Licensed Products (as defined in the EULA) that are covered by a current maintenance agreement with PBSI.
- 2. Limitations on Use of Virtual Earth.** You may not integrate Virtual Earth or any content of Virtual Earth with any Google or MapQuest mapping platform as the primary road mapping source. However, You may incorporate various data layers of types not available through the Services (for example, demographic or school location data).

Appendix I

Optum – EncoderPro.com Professional for Payers Service, including the I-10 Map Manager Encoderpro.com Add-On and ICD-10 Map Selects Supplemental Data License Terms

- I. License of EncoderPro.com Professional for Payers Services, and Associated Functionality.
- A. EncoderPro.com Professional for Payers. Optum grants the State the nonexclusive, nontransferable right to use the EncoderPro.com coding information look up service (the “Services”). EncoderPro.com is a web-based code look-up tool for all CPT®, HCPCS and ICD-9-CM code sets and Optum and Medicare coding guidelines. Developed to ensure and establish consistency in claim reference information across claims, utilization review, medical management, provider relations, customer service, and quality audit. EncoderPro.com delivers the content of over 40 referential code books in an electronic searchable format with real time content updates.
- B. I-10 Map Manager. The State shall also have the nonexclusive, nontransferable right to use the Optum I-10 Map Manager functionality for use with the Services (which shall be included in the definition of “Services”). A user of I-10 Map Manager can manually enter codes or upload a list of codes using .txt or .csv files. These lists of codes (whether ICD-9 or ICD-10) are referred to as “source” codes. For each source code, I-10 Map Manager provides clinically equivalent codes for a potential custom mapping. These codes, determined by the CMS GEM or Optum’s clinical/coding mapping logic (MapSelects), are referred to as “target” codes. Target codes could be ICD-9 or ICD-10, based on whether you are mapping from ICD-9 to ICD-10 or the reverse. In addition to CMS GEMs, target codes are determined by the Optum Clinical Review Team. After a thorough review of GEM logic, clinical logic, and coding guidelines for both ICD-9 and ICD-10 codes, a MapSelect alternative can help the I-10 Map Manager user identify the most optimal source/target code relationship for their organization. Combining the GEM and Optum MapSelects with EncoderPro.com’s valuable referential coding information to make the best mapping decision, the I-10 Map Manager user can simply export this data (.txt and .csv) for use across the organization.
- C. ICD-10 Map Selects Supplemental Data. The State shall also have the nonexclusive, non-transferable right to use the Optum ICD-10 Map Selects supplemental data (the “ICD-10 Map Selects Data”). The ICD-10 Map Selects Data are crosswalk files that can help provide information to more effectively translate policies, benefits, claims adjudication, trending, and more. Based on CMS’ GEMs information and clinical reviews, the ICD-10 Map Selects Data provides one-to-one selections, additional map alternatives, and new combination alternatives. The ICD-10 Map Selects Data can be used as a default or a starting point to:
- Help create organization- and department-specific maps
 - Provide alternatives and rationale for mapping
 - Increase the number of one-to-one crosswalks and provide additional map alternative
 - Reduce clinical and coding resource needs
- D. Use of Services. The State has the nonexclusive, nontransferable right to use the Services for its internal, lawful, business use. The State acquires no rights to the Services or to the information and data, including the ICD-10 Map Selects Data,

accessed via the Services, except the right to use the information and data solely for the State's own internal business purposes, in accordance with this Appendix I. The State shall have no right to allow any person or entity that is not an employee or consultant of the State to access the Services, directly or indirectly in any way.

- E. Number of Sites and Users. The number of authorized "Users" of EncoderPro.com at the State is as follows: a total of ten (10) Users, with the understanding that for as long as Optum is a contractor to the State, Optum shall have two (2) of the ten (10) Users included in the above license. If the number of Users increases, the State agrees to notify Optum in writing within ten (10) days thereafter and pay additional license fees upon receipt of an acceptable invoice for any increase in the number of Users under this Appendix I. Pursuant to Optum's agreement with the American Medical Association, a User is an individual employee or contractor of the State who:
1. Accesses, uses, or manipulates Current Procedural Terminology ("CPT®") coding contained in the Service; or
 2. Accesses, uses, or manipulates the Service to produce or enable an output (data, reports, or the like) that could not have been created without the CPT embedded in the Service even though CPT coding may not be visible or directly accessible; or
 3. Makes use of an output of the Service that relies on or could not have been created without the CPT coding embedded in the Service even though CPT coding may not be visible or directly accessible.
- F. User ID and Security. Optum shall provide the State with a User ID for each purchased user license to access the Services via the EncoderPro.com website. The State agrees to maintain strict security procedures to prevent unauthorized use or disclosure of each purchased user licensed User ID and to protect the Services from improper access. Each purchased user licensed User ID is personal to each purchased licensed user only and shall be disclosed only to the State's employees who have a need to access the Services and who agree to abide by the terms of this Appendix I. It shall be the ongoing responsibility of the State to administer User ID(s) for anyone to whom the State has granted access to the Services, and to ensure that User ID(s) are revoked for persons who no longer require access to the Services or who are no longer employed by the State. All fees incurred by persons to whom the State has disclosed a User ID shall be the State's sole responsibility.
- G. Delivery and Updates. Optum shall make each component of the Services available to the State as it becomes available for general release from Optum, via automatic updates to the Services. Individual code/Medicare data updates will be made available as data is received from the data sources and processed by Optum for the Services.
- H. Accuracy and Errors. The State agrees that Optum and its employees and agents shall not be held responsible or liable for any actions taken by the State, or any error, inaccuracy, or omission in any report or analysis the State prepares in connection with or through use of the Services. No later than thirty days from the date of the State's receipt of access to the Services or any update of the Services, the State shall advise Optum in writing of any known errors or suspected errors that may materially affect the Services.

II. Limited Warranty

Optum warrants that the Software available as part of the Service will perform in accordance with the user documentation for it on the Website. OPTUM DISCLAIMS ALL OTHER

WARRANTIES OF ANY KIND RELATING TO THE SOFTWARE AND THE WEBSITE, EXPRESS OR IMPLIED, INCLUDING, BUT NOT LIMITED TO, THE IMPLIED WARRANTIES OF MERCHANTABILITY AND FITNESS FOR A PARTICULAR PURPOSE.

III. Limitation of Damages

Each party's liability to the other party for direct damages arising out of this Appendix I shall not exceed the amount the State has paid or owes Optum under this Appendix I in the year in which the cause of action rose. Under no circumstances will either party or Optum's licensors be responsible under this Appendix I for any indirect, incidental, special or consequential damages resulting from either party's performance or failure to perform under this Appendix I, including, without limitation, the use of or inability to use the Services, any damage to equipment and any cost of recovering lost data or of reprogramming. Optum does not warrant that the Software available as part of the Service will meet the State's requirements or that the operation of the Website will be uninterrupted or without error.

IV. Copyright and Confidentiality

The State acknowledges that the Software made available as part of the Service, the process and technologies included therein, as well as any other information or materials made available to the State by Optum through the Website are valuable assets, trade secrets, and/or copyrighted material of Optum and that Optum retains title to them. Under no circumstances may the State copy the Software made available as part of the Service or the accompanying documentation for the purposes of distribution to others, or may the State remove the copyright notices on the Software or the accompanying documentation. The State agrees not to decompile, reverse engineer, or otherwise attempt to discover the source code of the Software made available as part of the Service.

V. Termination for Breach

Optum may access and inspect the State's business records to investigate the State's compliance with this Appendix I. Optum may terminate the State's access to the Software at any time if Optum reasonably believes that State is in violation of this Appendix I. This Appendix I shall automatically terminate if the State fails to comply with any provision of this Appendix I.

Appendix J

Oracle Software – Conditions Applicable to the State’s Use of Optum’s License From Oracle Corporation

The Oracle Software described in Optum’s Technical Proposal is subject to license terms from the manufacturer, Oracle Corporation (“Oracle”) that are not negotiable. As a result, Optum shall procure a license from Oracle permitting Optum to use the Oracle Software and the State may use such Optum license, subject to the following terms and conditions from Oracle:

- (1) The State may access the Oracle Software hosted at the Optum production data center in Chaska, Minnesota (the “Production Site”) and at the Optum test and disaster recovery data center in Elk River, Minnesota (the “DR Site”) or such other Optum hosted site (collectively, the “Sites”), provided that in all cases, the Site(s) shall be separate and apart from the State’s premises and/or data center.
- (2) The State’s use of the Oracle Software accessed in the above manner shall be solely for the State’s internal business operations.
- (3) The State shall not have the right to copy, reverse engineer, disassemble, modify, prepare a derivative work or otherwise transfer or distribute the Oracle Software.
- (4) The State’s right and use of the Oracle Software shall be limited to the term during which the Prime Contract between the State and Optum is in effect.

Appendix K

Footprints Software – Conditions Applicable to the State’s Use of Optum’s License From BMC Corporation

The Footprints Software described in Optum’s Technical Proposal is subject to license terms from the manufacturer, BMC Corporation (“BMC”) that are not negotiable. As a result, Optum shall procure a license from Oracle permitting Optum to use the Footprints Software and the State may use such Optum license, subject to the following terms and conditions from BMC Corporation:

- (1) The State may access and use the Footprints Software hosted at the Optum production data center in Chaska, Minnesota (the “Production Site”) and at the Optum test and disaster recovery data center in Elk River, Minnesota (the “DR Site”) or such other Optum hosted site (collectively, the “Sites”), provided that in all cases, the Site(s) shall be separate and apart from the State’s premises and/or data center.
- (2) The State acknowledges that the Footprints Software is protected by the United States copyright law and applicable international copyright treaties.
- (3) The State may not claim or assert title to or ownership of the Footprints Software (or modifications thereto) or remove or alter any copyright or proprietary rights notice from copies of the Footprints Software.
- (4) The State may not copy, decompile, disassemble, reverse engineer or attempt to derive the Footprints Software’s source code, except to the extent permitted by applicable law despite this limitation.
- (5) The State may not sell, rent, lease, license, sublicense, modify, time share, outsource, otherwise use, or transfer the Footprints Software to any third party.
- (6) The State will use reasonable care and protection to prevent the unauthorized use, copying, publication or dissemination of the Footprints Software.
- (7) The State may not export or re-export the Footprints Software without both the written consent of Optum and BMC Corporation and the appropriate U.S. and/or foreign government license(s).

Appendix L
Contract and Grant Disclosure Form
(See Attached)

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 NAME: Optum Government Solutions, Inc.

Yes No

TAXPAYER ID NAME: 04-3574101

IS THIS FOR:

Goods? Services? Both?

YOUR LAST NAME: _____ M.I.: _____

ADDRESS: 1365 Technology Drive

CITY: Eden Prairie

STATE: MN

ZIP CODE: 55344

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.]	Relation
	Current	Former		From MM/YY	To MM/YY		
General Assembly	<input type="checkbox"/>	<input type="checkbox"/>					
Constitutional Officer	<input type="checkbox"/>	<input type="checkbox"/>					
State Board or Commission Member	<input type="checkbox"/>	<input type="checkbox"/>					
State Employee	<input type="checkbox"/>	<input type="checkbox"/>					

None of the above applies

FOR A VENDOR (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 (%)
General Assembly	<input type="checkbox"/>	<input type="checkbox"/>					
Constitutional Officer	<input type="checkbox"/>	<input type="checkbox"/>					
State Board or Commission Member	<input type="checkbox"/>	<input type="checkbox"/>					
State Employee	<input type="checkbox"/>	<input type="checkbox"/>					

None of the above applies

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 Secretary, Optum Government Solutions, Inc. Date _____
Vendor Contact Person Willie Williams Title Client Relationship Executive Phone No. 303-520-1370

Agency use only
Agency Number _____ Agency Name _____ Agency Contact Person _____ Agency Contact Phone No. _____ Contract or Grant No. _____

Appendix M - OPTUM CONFIDENTIAL AND PROPRIETARY

Conflict of Interest Disclosure

As required by the terms of the RFP, Optum acknowledges and agrees that the contract that shall be awarded to the bidder whose Proposal is accepted shall be governed by Arkansas law. Consistent with that acknowledgement and agreement is Optum's willingness to comply with the conflict of interest principles embedded in Arkansas law.

The purpose of this Appendix M is to provide the State with the following information in connection with a potential type of conflict of interest – an "organizational conflict of interest" - that may at first appear to exist if Optum is awarded the contract resulting from the RFP in light of other business relationships held by Optum affiliates:

1. The Policy Followed by Optum For Identifying and Mitigating Organizational Conflicts of Interest
2. A Description of Potential Organizational Conflicts of Interest If Optum Is Awarded the Contract Resulting from the RFP In Light of the Businesses of Optum Affiliates; and
3. Reasons Why and How There is No Actual Organizational Conflict of Interest Affecting Optum Should the State Award the Contract from the RFP to Optum

A. The Overall Policy Based Approach to Identifying and Mitigating Conflicts of Interest

Optum is a trusted advisor for many State Medicaid programs, and of competing commercial payers, providers, and employers and has earned its well-deserved reputation for independence and objectivity by performing its duties in a professional and independent manner, and by implementing the necessary safeguards to provide for the confidentiality and separation of our corporations and client engagements.

As an experienced participant in the public sector, Optum fully understands and appreciates the necessity of identifying and effectively mitigating potential conflicts of interest relative to its work for both state and federal government clients. For example, Optum and its ultimate parent company, UnitedHealth Group, Incorporated ("United"), have developed an enterprise-wide policy, applicable to all business segments and all employees, that requires the identification, analysis and avoidance or mitigation of any organizational conflict of interest. If a potential conflict is identified, the affected business units must work together to avoid or effectively mitigate the conflict.

United requires all employees to complete training on these policies to provide for an effective enterprise-wide understanding of each employee's responsibility relating to data privacy and security; ethics and integrity and conflicts of interest. The purpose of these courses is to provide employees with a basic understanding of the importance of such issues and explains related corporate policies, procedures, and practices for the identification and mitigation of any potential and actual conflicts of interest. Such training and the policies described above, as well as detailed audits performed against such policies, are part of a comprehensive compliance program maintained by United. This United policy permits Optum to serve as a vendor to the State of Arkansas and other States regarding the full range of services and products required by the RFP, including, without limitation, fraud detection and the identification of improper payments as well as determination of medical necessity associated with a variety of claims, while mitigating potential or actual organizational conflicts of interest.

B. The Absence of any Actual or Apparent Conflicts of Interest Directly From the Bidder, Optum Government Solutions, Inc. With Respect to the RFP

It is important to first note that the bidder, Optum Government Solutions, Inc. (“Optum”) has no actual or apparent conflicts of interest with the scope of services requested as part of the RFP.

C. The Apparent Organizational Conflicts of Interest Raised by Indirect Contractual Relationships or Ownership Interests

There are a variety of contractual relationships between Optum affiliates and providers whose claims may be the subject of a portion of Optum’s work under the RFP that might, at first glance, create the appearance of an organizational conflict of interest. The names of these affiliates and the nature of the relationship are briefly described below. Having stated that, however, there are several reasons why these relationships do not create any actual conflict of interest for Optum to perform any of the services under the RFP, as outlined in Section D below.

1. Contractual Relationships with Medical Service Providers and Billing, Coding and Service Entities Held Affiliates of the Bidder

The immediate parent company of the bidder is OptumInsight, Inc. (“OptumInsight”). OptumInsight or its other subsidiaries that are ‘affiliates’ to Optum (collectively, the “Optum Companies”) have various contractual relationships with health care providers nationwide, including in the Arkansas Medicaid Program as well as billing and coding related health care companies. The Optum Companies constitute a global health care information, technology and consulting leader that serves a diverse client base within the health care community, including payers, physicians and hospitals, employers, pharmaceutical companies, consumers, property and casualty insurers, and government agencies.

With respect to the health care provider client base, the Optum Companies offer a variety of products and consulting services, including without limitation the following:

- Revenue Management Solutions that address reducing administrative costs while accelerating the speed with which claims are paid. Some of the software products include software that pre-screens for billing and coding errors to reduce claim denials, and software that tracks a provider’s billing so as to comply with applicable payor contracts.
- Practice Management Solutions that include software permitting a provider to monitor that claims are paid accurately and on time, through reducing errors related to eligibility and incorrect coding.
- Electronic Data Interchange Solutions, including electronic clearinghouses that automate electronic remittances and eligibility verification.
- Coding, Compliance and Reimbursement Management Solutions, to aid in accurate and timely coding and billing.

The customers of the Optum Companies include health care providers to Arkansas Medicaid—creating the potential for impaired objectivity should Optum desire to favor such providers who might otherwise submit claims resulting in overpayments merely because they are customers of other Optum Companies. It is important to note, however, that the products and services of the Optum Companies are designed with a goal that is shared by Optum’s line of business; namely, the goal of making certain that the applicable Medicaid payor ends up paying the correct amount on each applicable claim. The software and services provided by the Optum Companies

to such providers do not determine which patients are eligible for payment by Arkansas Medicaid, nor does it involve a detailed analysis of whether the claim should or should not be paid. So, while the businesses of the Optum Companies and of the bidder, Optum Government Solutions, Inc., have different client bases, they are designed around the same principle, which serves to prevent any actual conflict of interest.

2. Certain Bidder Affiliates within United Provide Health Insurance Benefits and Have Contractual Relationships with Providers, including Providers to Arkansas Medicaid

Optum is part of United. United has three separate businesses that provide insurance health benefits to three separate markets. First, there is the UnitedHealthcare Employer and Individual business segment that provides consumer-oriented health benefit plans and services to individuals, public sector employers and businesses of all sizes in 50 states, including Arkansas. Some of the same providers that would be the potential subject of the identification of overpayments or fraud by Optum may be part of the UnitedHealthcare provider network. A potential OCI may arise if Optum were to favor providers to Arkansas Medicaid who were also providers within the UnitedHealthcare provider network or alternatively, aggressively pursue overpayments from providers outside of the UnitedHealthcare provider network.

A second health insurer business within United is UnitedHealthcare Community and State that provides health insurance plans for Medicaid beneficiaries and other state programs in 24 states and Washington, D.C. However, UnitedHealthcare Community and State is not present in Arkansas and therefore, this business does not create any potential OCI with Optum's services under this RFP.

The third health insurer business within United is UnitedHealthcare Medicare and Retirement that provides nationwide health insurance services to Medicare beneficiaries through Medicare Advantage plans, Medicare Supplement plans, Part D prescription drug plans, Employer retiree health insurance services and chronic disease management and care coordination programs to seniors, including in Arkansas. This business does not create any potential OCI given the scope of services required by this RFP.

3. An Affiliate of Optum Has Contractual Relationships with Health Care Providers, including Providers to Arkansas Medicaid, as Part of Providing Medical Necessity Reviews to such Providers

Executive Health Resources, Inc. ("EHR") and the bidder, Optum, have a common immediate parent company, OptumInsight, Inc. EHR is in the business of providing medical necessity reviews and physician medical management solutions for hospitals. It is possible that Optum may identify potential overpayment claims through both reviews and audits where the ultimate determination of whether an overpayment exists may require a medical necessity determination that might have already been made by EHR, as a contractor to an Arkansas Medicaid provider or through consultative advice provided by EHR on the particular provider claim, as it relates to a matter involving a hospital admission or readmission or other consultative advice on a coding related matter.

Medical necessity determinations are based upon the professional judgment of the person making the determination. Therefore, the affiliated status that Optum bears to EHR may create the appearance of an inherent bias that could affect the exercise of judgment related to medical necessity and which might lead to fewer Optum claim challenges where EHR had been involved.

Similarly, the RFP requires the successful bidder to provide support throughout the legal process in the event of appeals by providers at the administrative or court level. The affiliate status between Optum and EHR could also create the appearance of an inherent bias that could

lead to less robust and persuasive testimony on the part of Optum in the administrative hearing process if the provider was an EHR client.

D. Reasons Why Relationships and Ownership Described Above Will Not Create a Conflict of Interest with the State or Interfere with the Effective Execution of the RFP Mandated Scope of Work

It is important to keep in mind that Optum and the proposed staff, in and of themselves, do not have relationships or direct ownership interests that create any actual or even potential conflicts of interest with the scope of services covered by its response to this RFP. Rather, it is only the “indirect” relationships held and/or businesses pursued by Optum’s affiliated or parent companies that create the potential for a conflict of interest with the scope of services required by this RFP. There are several reasons how this potential conflict of interest has been mitigated.

- **Separate Staffing:** Optum’s staffing for the operational services required by this RFP are separate from the staff of Optum affiliates in the benefits, provider and payer businesses described above.
- **Information and Security Firewalls:** Optum will establish and maintain information firewalls such that the Optum staff will not have access to the EHR client database or that of its affiliates having relationships with providers, in an effort to prevent such staff from knowing which providers are EHR or Optum Company clients, unless so informed by such clients.
- **Transparent Analytics:** Optum’s services will include the use of transparent solutions and algorithms that do not take into account a provider’s relationship with any third party advisor.
- **Provider Neutral Analytics:** Optum’s services will use a broad set of data matching algorithms that don’t exclude claims from provider types or that only examine certain types of claims from providers that don’t have business relationships with EHR or any other Optum affiliates.
- **State’s Ability to Act as Check and Balance:** The State will have the ability to perform additional data sampling as an additional check and balance.
- **State Approval Required Prior to Action Being Taken:** There can be multiple iterations of algorithm matching and State concurrence before recovery actions are initiated against the provider and indeed, it is the State who will initiate such actions.

It is, nonetheless possible that, in the course of performing a complex review of claims, we may encounter potential overpayment claims where the ultimate determination of whether an overpayment exists may require a medical necessity determination and where EHR may have been involved as part of providing consultative advice to an Arkansas Medicaid provider. If that were to occur, we have proposed the use of an unaffiliated subcontractor, Medical Audit & Review Solutions.

Optum proposes to use Medical Audit & Review Solutions in a manner that maximizes their involvement on any subjective determinations of medical necessity. This strategy effectively avoids any actual impaired objectivity-based organizational conflict of interest because:

- Medical Audit & Review Solutions is independent from both Optum and EHR. Medical Audit & Review Solutions will be using its own medical doctors and staff, as well as its own intellectual property in making determination of medical necessity.

- The process for selecting claims to be reviewed and collected by Medical Audit & Review Solutions is objective and transparent.
- Medical Audit & Review Solutions' unbiased professional judgment has been substituted for that of Optum in every circumstance where that judgment could affect the economic interest of EHR and therefore potentially Optum's.

Medical Audit & Review Solutions is an independent entity because:

- It is not under common ownership or control with Optum or EHR.
- Its employees, officers and directors are not employed by Optum or EHR.
- It is free to pursue and perform business with RAC / program integrity vendors other than Optum.

The process for selecting claims to be reviewed by Medical Audit & Review Solutions is objective and transparent because:

- Medical Audit & Review Solutions will be responsible for utilizing the fraud abuse and detection system to pull its own samples and provider selections, completely separate and independent of Optum, to detect overpayment or underpayment of claims related to medical necessity.
- Medical Audit & Review Solutions will not have access to the EHR client database and will not know which providers are EHR clients, unless so informed by such clients.
- Medical Audit & Review Solutions will use transparent solutions and algorithms that do not take into account a provider's relationship with any third party advisor.
- Medical Audit & Review Solutions will not exclude or include claims from examination based upon a provider's business relationship (or lack thereof) with EHR.
- Medical Audit & Review Solutions will present overpayment findings to the State for approval.
- The State will have the ability to perform additional data sampling as an additional check and balance.