

Proposal for Solicitation -RFP #MED-12-029

IOWA DEPARTMENT OF HUMAN SERVICES

**Project Oversight, Management and Integration Services
for Iowa's Medicaid Management Information System
(MMIS) Implementation Project**

Submission Date - November 9, 2011, 3:00 PM



Medicaid Enterprise

**Technical Proposal
Redacted**



Team SES:
Software Engineering Services
4Thought Group

Submitted By:
Software Engineering Services
1311 Fort Crook Road South, Suite 100
Bellevue, NE 68005
SES DUNS #: 80-372-8534

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1.0 Tab 1: Transmittal Letter and Bid Proposal Security

1.1 Transmittal Letter

JoAnn Cowger
Iowa Medicaid Enterprise
100 Army Post Road
Des Moines, Iowa 50315

November 7, 2011

Ms. Cowger,

Software Engineering Services (SES) is pleased to present a response to the Iowa Department of Human Services for Project Oversight, Management and Integration Services for Iowa's Medicaid Management Information System (MMIS) Implementation Project (RFP #MED-12-029). SES acknowledges and accepts the terms and conditions of the RFP, as well as all five amendments that have been released from the State.

SES is a US Service Disabled Veteran-Owned, SBA certified Minority Business Enterprise with corporate headquarters in Nebraska. Founded in 1991, SES has a long history of providing Information Technology (IT) support to our Federal, State, and Commercial Clients.

SES has extensive experience in helping State Health and Human Services reach their IT needs by providing cutting edge and cost effective project management services. We bring an experienced team and a proven, recognized methodology. Our unmatched expertise in the necessary arenas will allow us to achieve the desired results within the required timeframe, and in a manner that meets and exceeds your requirements.

We have included an executive summary reviewing our strengths and approach separately from this letter. Our executive summary can be found immediately following this letter at the beginning of our technical proposal in section 1.2.

If you have any questions, please contact me at 402-292-8660, ext. 212, or by email at esmith@sessolutions.com. SES looks forward to having the opportunity to work with the State of Iowa on this effort.

Sincerely,

A handwritten signature in black ink that reads 'Esper Smith'.

Esper Smith

Director of Business Operations for Software Engineering Services
1311 Fort Crook Road South, Suite 100
Bellevue, NE 68005
Phone: 402-292-8660, ext. 212
Fax: 402-292-3271
Email: esmith@sessolutions.com

1.2 Executive Summary

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1.3 Bid Proposal Security

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Great Western Bank
Making Life GreatSM
Member FDIC

601825

DATE: 11/08/11

REMITTER: SOFTWARE ENGINEERING SERVICES

COMMENTS:

PAY TO THE ORDER OF IOWA DEPARTMENT OF HUMAN SERVICES

EXACTLY **5,000 AND 00/100 DOLLARS

\$ *****5,000.00

CASHIER'S CHECK

PAYABLE THROUGH
FIRST INTERSTATE BANK
HELENA, MT

Margaret A. Cooper
AUTHORIZED SIGNATURE

⑈601825⑈ ⑆092005411⑆ ⑆0140010022188⑈

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3.0 Tab 3: RFP Forms

3.1 Release of Information Form

Attachment A: Release of Information

(Return this completed form behind Tab 3 of the Bid Proposal.)

Software Engineering Services (name of bidder) hereby authorizes any person or entity, public or private, having any information concerning the bidder's background, including but not limited to its performance history regarding its prior rendering of services similar to those detailed in this RFP, to release such information to the Agency.

The bidder acknowledges that it may not agree with the information and opinions given by such person or entity in response to a reference request. The bidder acknowledges that the information and opinions given by such person or entity may hurt its chances to receive contract awards from the Agency or may otherwise hurt its reputation or operations. The bidder is willing to take that risk. The bidder agrees to release all persons, entities, the Agency, and the State of Iowa from any liability whatsoever that may be incurred in releasing this information or using this information.

Software Engineering Services
Printed Name of Bidder Organization


Signature of Authorized Representative

11/5/2011
Date

Esper Smith
Printed Name

3.2 Primary Bidder Detail & Certification Form

MED-12-029
Project Oversight, Management and Integration Services
For Iowa's MMIS Implementation Project

Attachment B: Primary Bidder Detail Form & Certification

(Return this completed form behind Tab 3 of the Proposal. If a section does not apply, label it "not applicable".)

| Primary Contact Information (individual who can address issues re: this Bid Proposal) | |
|---|---|
| Name: | Esper Smith |
| Address: | 1311 Fort Crook Road South, Suite 100, Bellevue, NE 68005 |
| Tel: | 402-292-8660, ext. 212 |
| Fax: | 402-292-3271 |
| E-mail: | esmith@sessolutions.com |

| Primary Bidder Detail | |
|--|--|
| Business Legal Name ("Bidder"): | Software Engineering Services |
| "Doing Business As" names, assumed names, or other operating names: | N/A |
| Parent Corporation, if any: | N/A |
| Form of Business Entity (i.e., corp., partnership, LLC, etc.): | Corporation |
| State of Incorporation/organization: | Nebraska |
| Primary Address: | 1311 Fort Crook Road South, Suite 100, Bellevue, NE 68005 |
| Tel: | 402-292-8660, ext. 212 |
| Fax: | 402-292-3271 |
| Local Address (if any): | 1200 Valley West Drive, Suite 204, West Des Moines, Iowa 50266 |
| Addresses of Major Offices and other facilities that may contribute to performance under this RFP/Contract: | |
| Number of Employees: | 125 |
| Number of Years in Business: | 20 |
| Primary Focus of Business: | Software Engineering, Project Management, IV&V, QA |
| Federal Tax ID: | 47-0760858 |
| Bidder's Accounting Firm: | Accurate Accounting |
| If Bidder is currently registered to do business in Iowa, provide the Date of Registration: | 8-16-2004 |
| Do you plan on using subcontractors if awarded this Contract? {If "YES," submit a Subcontractor Disclosure Form for each proposed subcontractor.} | YES (YES/NO) |

| Request for Confidential Treatment (See Section 3.1) | | |
|---|--|-------------------------|
| Location in Bid (Tab/Page) | Statutory Basis for Confidentiality | Description/Explanation |
| Tab 1: Executive Summary Attachment: PMOM Cost Proposal | Confidential & Proprietary Information | ****See Summary Below |

| Exceptions to RFP/Contract Language (See Section 3.1) | | | |
|---|--|--|---|
| RFP Section and Page | Language to Which Bidder Takes Exception | Explanation and Proposed Replacement Language: | Cost Savings to the Agency if the Proposed Replacement Language is Accepted |
| N/A | | | |

Executive Summary - provides an overview of the proposal response as well as specific discriminators we are providing to this effort.
 Cost Proposal - contains labor rates / cost buildups that would provide an unfair advantage to our competitors.
 Attachment: PMOM - contains information about a proprietary tool that is not released as public information

BID PROPOSAL CERTIFICATION

By signing below, Bidder certifies that:

- Bidder accepts and will comply with all Contract Terms and Conditions contained in the Sample Contract without change except as otherwise expressly stated in the Primary Bidder Detail Form & Certification.
- Bidder has reviewed the Additional Certifications, which are incorporated herein by reference, and by signing below represents that Bidder agrees to be bound by the obligations included therein.
- Bidder does not discriminate in its employment practices with regard to race, color, religion, age (except as provided by law), sex, marital status, political affiliation, national origin, or handicap;
- No cost or pricing information has been included in the Bidder's Technical Proposal;
- Bidder has received any amendments to this RFP issued by the Agency;
- Bidder either is currently registered to do business in Iowa or agrees to register if Bidder is awarded a Contract pursuant to this RFP;
- The person signing this Bid Proposal certifies that he/she is the person in the Bidder's organization responsible for, or authorized to make decisions regarding the prices quoted and he/she has not participated, and will not participate, in any action contrary to the anti-competitive agreements outlined above;
- Bidder specifically stipulates that the Bid Proposal is predicated upon the acceptance of all terms and conditions stated in the RFP and the Sample Contract without change except as otherwise expressly stated in the Primary Bidder Detail Form & Certification. Objections or responses shall not materially alter the RFP. All changes to proposed contract language, including deletions, additions, and substitutions of language, must be addressed in the Bid Proposal;
- Bidder certifies that the Bidder organization has sufficient personnel resources available to provide all services proposed by the Bid Proposal, and such resources will be available on the date the RFP states services are to begin. Bidder guarantees personnel proposed to provide services will be the personnel providing the services unless prior approval is received from the Agency to substitute staff;
- Bidder certifies that if the Bidder is awarded the contract and plans to utilize subcontractors at any point to perform any obligations under the contract, the Bidder will (1) notify the Agency in writing prior to use of the subcontractor, and (2) apply all restrictions, obligations, and responsibilities of the resulting contract between the Agency and Contractor to the subcontractors through a subcontract. The Contractor will remain responsible for all Deliverables provided under this contract.
- Bidder guarantees the availability of the services offered and that all Bid Proposal terms, including price, will remain firm until a contract has been executed for the services contemplated by this RFP or one year from the issuance of this RFP, whichever is earlier; and,
- Bidder certifies it is either a) registered or will become registered with the Iowa Department of Revenue to collect and remit Iowa sales and use taxes as required by Iowa Code chapter 423; or b) not a "retailer" of a "retailer maintaining a place of business in this state" as those terms are defined in Iowa Code subsections 423.1(42) & (43). The Bidder also acknowledges that the Agency may declare the bid void if the above certification is false. Bidders may register with the Department of Revenue online at: <http://www.state.ia.us/tax/business/business.html>.

By signing below, I certify that I have the authority to bind the Bidder to the specific terms, conditions and technical specifications required in the Agency's Request for Proposals (RFP) and offered in the Bidder's Proposal. I understand that by submitting this Bid Proposal, the Bidder agrees to provide services described herein which meet or exceed the requirements of the Agency's RFP unless noted in the Bid Proposal and at the prices quoted by the Bidder. I certify that the contents of the Bid Proposal are true and accurate and that the Bidder has not made any knowingly false statements in the Bid Proposal.

| | |
|---------------------|---|
| Signature: |  |
| Printed Name/Title: | Esper Smith, Director of Business Operations |
| Date: | 11/8/2011 |

3.3 Subcontractor Disclosure Form

Attachment C: Subcontractor Disclosure Form

| |
|--|
| <i>(Return this completed form behind Tab 3 of the Bid Proposal. Fully complete a form for each proposed subcontractor. If a section does not apply, label it "not applicable." If the bidder does not intend to use subcontractor(s), this form does not need to be returned.)</i> |
| Primary Bidder ("Primary Bidder"): Software Engineering Services (SES) |
| Subcontractor Contact Information (individual who can address issues re: this RFP) |
| Name: Kelley Carson |
| Address: 60 E Rio Salado Parkway, Suite 9002 Tempe, AZ 85281 |
| Tel: 512.415.4761 |
| Fax: 480.830.6370 |
| E-mail: kcarson@4tginc.com |

| |
|--|
| Subcontractor Detail |
| Subcontractor Legal Name ("Subcontractor"): FourThought Group, Inc. (4TG) |
| "Doing Business As" names, assumed names, or other operating names: N/A |
| Form of Business Entity (i.e., corp., partnership, LLC, etc.): Corporation |
| State of Incorporation/organization: Arizona |
| Primary Address: 60 E Rio Salado Parkway, Suite 9002 Tempe, AZ 85281 |
| Tel: 602.340.8450 |
| Fax: 480.830.6370 |
| Local Address (if any): N/A |
| Addresses of Major Offices and other facilities that may contribute to performance under this RFP/Contract: N/A |
| Number of Employees: 13 |
| Number of Years in Business: 22 |

| |
|---|
| Primary Focus of Business: Consulting Services |
| Federal Tax ID: 86-0634779 |
| Subcontractor's Accounting Firm: Villanueva & Company, P.C. - 3707 N. 7 th , Suite 125 Phoenix, Arizona 85014 |
| If Subcontractor is currently registered to do business in Iowa, provide the Date of Registration: N/A |
| Percentage of Total Work to be performed by this Subcontractor pursuant to this RFP/Contract: 30% |
| General Scope of Work to be performed by this Subcontractor |
| Expertise and Consulting services in MMIS Certification, MITA, ICD-10, and other Health Initiatives. |
| Detail the Subcontractor's qualifications for performing this scope of work |
| <p>For 22 years, 4TG has provided consulting services across the entire spectrum of health and human services, in addition to other state agencies. We provide management consulting expertise to clients who are planning modernization and organizational change activities. We provide technical assistance and procurement support services to clients who are ready to initiate system procurements. We provide guidance to and oversight for clients who are in the middle of modernization efforts. We also provide system design and development services to clients who are making the investment in brand new technology to meet their long-term objectives.</p> <p>Our experience and expertise has provided us credibility and positioned us as leaders in the Medicaid program and policy arena. A broad base of experience with various MMIS and eligibility systems ensures that our staff maintains a continuum of development in leading edge technology regarding MMIS and healthcare consulting.</p> |

By signing below, Subcontractor agrees to the following:

1. Subcontractor has reviewed the RFP, and Subcontractor agrees to perform the work indicated in this Bid Proposal if the Primary Bidder is selected as the winning bidder in this procurement.
2. Subcontractor has reviewed the Additional Certifications and by signing below confirms that the Certifications are true and accurate and Subcontractor will comply with all such Certifications.
3. Subcontractor agrees that it will register to do business in Iowa before performing any services pursuant to this contract, if required to do so by Iowa law.

4. Subcontractor does not discriminate in its employment practices with regard to race, color, religion, age (except as provided by law), sex, marital status, political affiliation, national origin, or handicap;

The person signing this Subcontractor Disclosure Form certifies that he/she is the person in the Subcontractor's organization responsible for or authorized to make decisions regarding the prices quoted and he/she has not participated, and will not participate, in any action contrary to the anti-competitive obligations agreements outlined above.

I hereby certify that the contents of the Subcontractor Disclosure Form are true and accurate and that the Subcontractor has not made any knowingly false statements in the Form.

| | |
|-------------------------------------|---|
| Signature for Subcontractor: |  |
| Printed Name/Title: | Barbera A. Bridgewater |
| Date: | November 7, 2011 |

4.0 Tab 4: Bidder’s Approach to Meeting Key Activities

4.1 Key Activity #1

For the System Services project act on behalf of the State to manage and oversee all activities and milestones of the DDI process of the IME contractors, and all system installation requirements and transition activities to mitigate risk, resolve issues, and successfully implement and transition to operations.

DELIVERABLES:

- At a minimum monthly written reports to the Agency's Project Director identifying all issues, corrective actions, and resolutions during the DDI phase.

PERFORMANCE MEASURES:

- 100% of the recommended resolutions and risk mitigations will result in allowing the contractors to return to execution of their approved work plans in order to continue to progress towards transition to successful operations.

MONITORING:

- The Agency's Project Director will review reports, corrective action plans, and results to determine the success of the Contractor when acting on behalf of the State.

4.1.1 Understanding

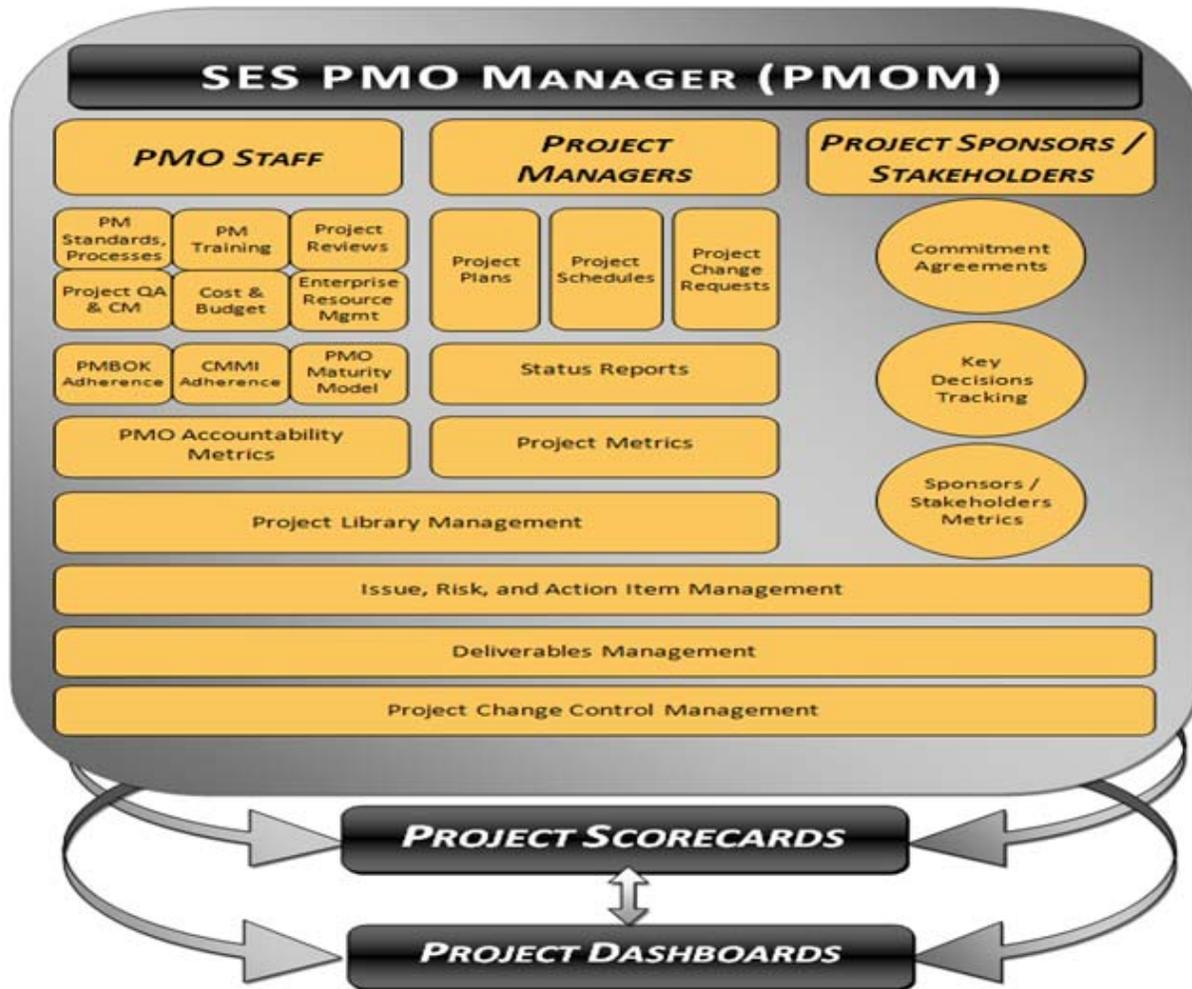
Team SES understands that our focus for the Systems Services project is to manage and provide oversight for all activities and milestones, acting on behalf of the State. Our team members will oversee all system installation requirements and transition activities and ensure that all risks are identified and mitigated. We understand that resolving issues is of utmost importance to ensure successful implementation and operational transitions. Team SES will provide monthly written reports utilizing the States standard template. This report will include all issues, corrective actions, and resolutions for the current DDI phase. Our report will also focus on issues from previous months and their current status. We understand that it is necessary to recommend problem resolutions and risk mitigations to ensure contractors are able to execute work plans and continue project progress. Our team will send reports, plans, and updated results throughout the project to the Project Director.

4.1.2 Approach

Team SES will use the industry “Best of the Breed” Enterprise Program Management Office (PMO) approach to manage and oversee all activities and milestones of the DDI process. Team SES will lead and facilitate a mature and disciplined project management approach to accomplish the IME implementation projects. As mentioned previously in the Executive Summary, SES implemented a very successful and functional POMI (PMO, QA, IV&V) for the initial Iowa Medicaid Enterprise (IME) operations using a "Best of Breed" approach. This approach included management and oversight of all requirements and transition activities and acts to mitigate risk and resolve issues. SES’s efforts led to a successful implementation and full transition to operations.

Tab 4: Bidder's Approach to Meeting Key Activities

The SES POMI will implement structured project management techniques based on CMMI® Maturity Level 3 and PMI Project Management Body of Knowledge (PMBOK) standards to ensure the successful planning, monitoring, and controlling of all IME projects. Team SES will use our proprietary, automated Project Management Office Manager (PMOMg) tool to provide efficient, standardize implementation of critical PMOI activities. The following graphic depicts the SES Project Management Office approach facilitated through our automated toolset with "best practices" executive management dashboards and reporting:



As depicted, each of the three (3) primary functional areas [PMO operations, Project Manager and Project Sponsors/Stakeholders] will enable detailed and complete project control and oversight during the IME DDI project. Again, PMOMg details are provided in Attachment PMOM.

As with any credible PMO, effective Project Planning and Project Monitoring/Control skills must be implemented in a mature and disciplined manner. The project plans must contain all of the required components that are necessary to demonstrate that the projects have been properly

planned. Project Monitoring/Control (during the project execution) must focus on the appropriate components to ensure expected project progress is occurring as planned.

The SES POMI approach consists primarily of policies, a four-phased PM methodology, detailed processes and procedures, 20 focus areas, and performance metrics.

PM POLICIES

The SES POMI will operate with the guidance and support of the following policies (these policies serve as a basis for communicating the commitment and support of structured and disciplined project management practices):

| PROJECT PLANNING POLICY | |
|--|---|
| Purpose | The purpose of Project Planning is to establish reasonable plans for the successful accomplishment of a project. Project planning involves developing estimates for the work to be performed, establishing the necessary commitments, and defining the plan to perform the work. |
| PROJECT MONITORING AND CONTROL POLICY | |
| Purpose | The purpose of Project Monitoring and Control is to provide sufficient insight for management to take effective action when the project’s performance deviates significantly from plans. A Project Plan is used as the basis for establishing, monitoring, and controlling the project activities, communicating status, and revising plans. Project performance is determined by comparing the actual project size, effort, cost, and schedule to the Project Plan. When the project’s planned commitments are not met, corrective actions will be taken and communicated to the Project Sponsor. Risk assessment and management will be used to identify and avoid future problems. Risk mitigation status will be monitored and reported throughout the project. |

PM METHODOLOGY

The POMI will use the following four-phase PM methodology (each Phase must be completed before the next phase begins):



The following table briefly lists the entry criteria, key tasks and exit criteria for each project management phase. The POMI will use standardized processes to perform the required PM tasks.

| ENTRY CRITERIA | KEY TASKS | EXIT CRITERIA |
|---|---|--|
| PROJECT PLANNING PHASE | | |
| <ul style="list-style-type: none"> ➤ Decision to pursue the project ➤ Assignment of | <ul style="list-style-type: none"> ➤ Develop a Project Plan (with Project Schedule) ➤ Obtain Resource Commitments ➤ Obtain Project Sponsor’s Approval ➤ Baseline Project Plan | <ul style="list-style-type: none"> ➤ Approved and Base-lined Project Plan |

Tab 4: Bidder's Approach to Meeting Key Activities

| <i>ENTRY CRITERIA</i> | <i>KEY TASKS</i> | <i>EXIT CRITERIA</i> |
|---|---|---|
| Project Manager | | |
| PROJECT INITIATION PHASE | | |
| ➤ Approved and Base-lined Project Plan | <ul style="list-style-type: none"> ➤ Validate Project Plan is Current and Accurate ➤ Assemble Project Team ➤ Conduct Kickoff Meeting | <ul style="list-style-type: none"> ➤ Informed Project Team ➤ High-level Resource Assignment |
| PROJECT MONITORING AND CONTROL PHASE | | |
| ➤ Base-lined Project Plan | <ul style="list-style-type: none"> ➤ Began execution of Project Tasks ➤ Perform Task, Performance, Cost, Schedule and Quality Monitoring ➤ Maintain Issues and Risk Databases ➤ Capture Actuals; Compare Actuals to Estimates ➤ Develop and Submit Project Change Request upon Project Deviation ➤ Conduct Team Meetings ➤ Develop and Submit Regular Project Status Reports | <ul style="list-style-type: none"> ➤ Completion of Project Tasks ➤ Project Deliverables ➤ Completed Project Acceptance Forms |
| PROJECT CLOSURE PHASE | | |
| ➤ Complete Project Requirements | <ul style="list-style-type: none"> ➤ Development of Project Closure Report ➤ Project Sponsor Meeting | ➤ Project Closure Report |

POMI PROCESSES AND PROCEDURES

The SES POMI will implement PM standards and procedures based on proven experience gained in numerous other critical, large-scale projects (including the “stand-up” of the IME). To support CMMI compliance, both Project Planning and Project Monitoring Control Process Areas must be implemented at a mature and repeatable process level.

The purpose of Project Planning is to establish and maintain plans that define project activities. Project Planning includes developing the master work plan, interacting with stakeholders appropriately and getting commitment to the plan, and maintaining the plan. Planning begins with requirements that define the products and project.

| <i>SEI CMMI PROJECT PLANNING PROCESS AREA</i> | | |
|---|---|--|
| <i>PROCESS</i> | <i>PROCEDURES</i> | <i>TYPICAL WORK PRODUCTS</i> |
| 1) Establish Estimates | <ul style="list-style-type: none"> ➤ Estimate the Scope of the Project ➤ Establish Estimates of Project Attributes ➤ Define Project Life Cycle ➤ Determine Estimates of Effort and Cost | <ul style="list-style-type: none"> ➤ Task Descriptions ➤ Work Product Descriptions ➤ Work Breakdown Structure ➤ Technical Approach ➤ Size and Complexity of Tasks ➤ Project Life Cycle Phases ➤ Cost and Schedule Estimates |
| 2) Develop a Project Plan | <ul style="list-style-type: none"> ➤ Establish the Budget and Schedule ➤ Identify Project Risks ➤ Plan for Data Management ➤ Plan for Project Resources | <ul style="list-style-type: none"> ➤ Project Schedule ➤ Schedule Dependencies ➤ Project Budget ➤ Identified Risks |

Tab 4: Bidder’s Approach to Meeting Key Activities

| SEI CMMI PROJECT PLANNING PROCESS AREA | | |
|---|--|---|
| PROCESS | PROCEDURES | TYPICAL WORK PRODUCTS |
| | <ul style="list-style-type: none"> ➤ Plan for Needed Knowledge and Skills ➤ Plan Stakeholder Involvement ➤ Establish Project Plan | <ul style="list-style-type: none"> ➤ Risk Priorities ➤ WBS Work Packages ➤ WBS Task Dictionary ➤ Staffing Requirements ➤ Skills Inventory ➤ Training ➤ Detailed Project Plan |
| 3) Obtain Commitment to the Plan | <ul style="list-style-type: none"> ➤ Review Subordinate Plans ➤ Reconcile Work and Resource Levels ➤ Obtain Plan Commitment | <ul style="list-style-type: none"> ➤ Record of Subordinate Plan Reviews ➤ Re-negotiated Budgets ➤ Revised Schedules ➤ Revised Requirements List ➤ Renegotiated Stakeholder Agreements |

The SES POMI understands that the IME contractors will prepare and submit detailed project plans and estimates after the IME implementation strategies and options have been selected—the Project Planning requirements will be used to validate that sufficient monitoring and control can occur because the project is properly planned.

The purpose of Project Monitoring and Control is to provide understanding into a project’s progress so that appropriate corrective actions can be taken when a project’s performance deviates significantly from the plan. The SES POMI will support the IME with the collection and monitoring of project actuals (and subsequent comparisons to the estimates). The SES POMI will work with individual IME Contractor PMs to obtain the necessary information to ensure the IME Master Work Plan is updated on a timely basis. The IME Contractor PMs will be expected to use the POMI Project Change Control (PCR) process to ensure project changes are properly documented, assessed for impacts, and approved/rejected in accordance with established processes.

| SEI CMMI PROJECT MONITORING AND CONTROL PROCESS AREA | | |
|---|--|---|
| PROCESS | PROCEDURES | TYPICAL WORK PRODUCTS |
| 1) Monitor Project Against Plan | <ul style="list-style-type: none"> ➤ Monitor Project Planning Parameters ➤ Monitor Commitments ➤ Monitor Project Risks ➤ Monitor Data Management ➤ Monitor Stakeholder Involvement ➤ Conduct Progress Reviews ➤ Conduct Milestone Reviews | <ul style="list-style-type: none"> ➤ Records of Project Performance ➤ Records of Significant Deviations ➤ Records of Commitments Reviews ➤ Records of Project Risk Monitoring ➤ Records of Data Management ➤ Records of Stakeholder Involvement ➤ Documented Project Review Results ➤ Documented Milestone Review |

| | | Results |
|--|--|--|
| 2) Manage Corrective Action to Closure | <ul style="list-style-type: none"> ➤ Analyze Issues ➤ Take Corrective Action ➤ Manage Corrective Action | <ul style="list-style-type: none"> ➤ List of Issues Needing Corrective Actions ➤ Corrective Action Plan ➤ Corrective Action Results |

POMI TWENTY (20) FOCUS AREAS

The following is the list of the SES POMI “typical” focused areas that are used to ensure SES implements an “industry best practices” POMI:

PMO FOCUS AREAS

- 1: PM STANDARDS AND PROCESS DEVELOPMENT
- 2: PROJECT MANAGERS TRAINING, MENTORING AND CONTINUOUS DEVELOPMENT
- 3: DEVELOPMENT AND MANAGEMENT OF PMO MASTER WORK PLAN
- 4: PROJECT PLAN DEVELOPMENT AND VALIDATION
- 5: PROJECT STATUS REPORTING AND COMMUNICATION
- 6: PROJECT SCOPE AND CHANGE CONTROL SUPPORT
- 7: PROJECT REVIEWS
- 8: PROJECT PLAN MANAGEMENT ASSISTANCE
- 9: RESOURCE MANAGEMENT SUPPORT
- 10: BUDGET AND FINANCIAL ANALYSIS
- 11: SYSTEM ASSURANCE
- 12: INDEPENDENT VERIFICATION & VALIDATION (IV&V)
- 13: PM METRIC IMPLEMENTATION AND ANALYSIS
- 14: PROJECT ISSUES ANALYSIS AND MANAGEMENT
- 15: PROJECT RISK ANALYSIS AND MANAGEMENT
- 16: PROJECT AND SPECIAL STATUS REPORTING
- 17: FEDERAL AND REGULATORY COMPLIANCE VERIFICATION
- 18: PMO ENTERPRISE COMMUNICATION
- 19: PROJECT MANAGEMENT AND SPECIAL PROJECTS ASSISTANCE
- 20: VENDOR/SUPPLIER MANAGEMENT AND SUPPORT

To assess and evaluate the effectiveness of the SES POMI, performance metrics will be reviewed and discussed with the IME Project Director on a quarterly basis. The POMI will be responsible for collecting and maintaining the performance metric database. The set of performance metrics will be updated accordingly to reflect the priorities and expectations of the POMI in its pursuit of accomplishing the POMI’s objectives.

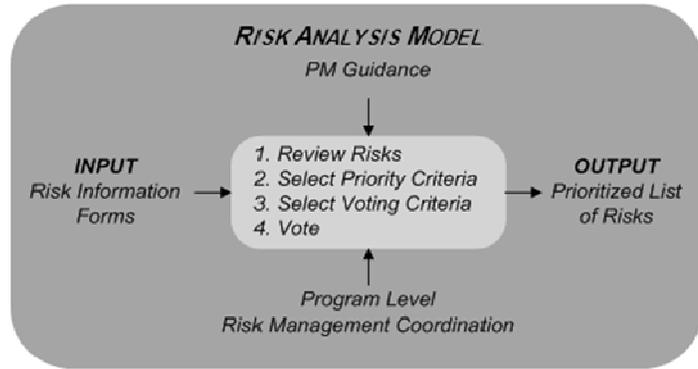
Note: Team SES will provide an integrated Master Work Plan that includes an overall view of all projects as a whole. This information is further detailed in Key Activity 5.

MITIGATING RISKS AND RESOLVING ISSUES FOR A SUCCESSFUL IMPLEMENTATION / TRANSITION

In order to mitigate risks and resolve issues to ensure a successful implementation, effective Risk Management practices must be in place. Risks are ranked in accordance to the ability to manage their relative controllability. We identify the alternatives available in delivery and processes to ensure that uncertainties and risks are adequately considered in a structured and systematic way, which allows them to be incorporated into the planning and project development.

Tab 4: Bidder’s Approach to Meeting Key Activities

Each risk identified will be analyzed in terms of its consequences on cost, schedule, performance, and product quality. Risks are assigned a unique identifier, priority, probability, rating, and an impact rating. Any identified risk has a likelihood of occurrence with specific impacts. The figure above depicts the process used to prioritize the risk.



Steps to Quantify Risks

- Select the risk events to be examined from the following categories: cost, schedule, performance, product quality.
- Review the risk resolution plan for each risk to insure proper mitigation steps have been well documented and that they are appropriate.
- Assess the probability associated with the risk event (for example: What is the probability that we shall get approval for next month? What is the probability that we shall not get approval for next month?).
- Apply probability formulas per levels of complexity.

Risk Metrics

The SES Project Management Team will report metrics on the risks. The SES Enterprise Portal offers the ability to produce various queries that may include reporting results on the following:

- | | |
|--|--|
| • Number of risks opened (by rating) | • Number of risks open (by owner) |
| • Number of risks closed (by rating) | • Number of total risks by risk rating |
| • Number of risks closed (by due date) | • Numbers of risks by risk factor |
| • Number of risks by age category | • Problem Identification, Tracking, and Resolution |
| • Number of risks overdue | |

Execute Resolution

Executing resolution is performing the tasks required to mitigate the risk. In this step, the risk owner updates the Risk Log with all relevant information about the risk, including whether or not the risk resolution plan has in fact resolved the risk.

The SES Team, in coordination with the Iowa Project Team representatives, will address the potential trend and develop acceptable and approved corrective action plans. These plans will document the history of the trend, analyze the potential impact to the Iowa IME project, and recommended corrective actions. These recommendations may result in modifications/adjustments to the Project Team’s processes and procedures to help improve overall product quality and product team performance. All changes will be automatically added into the SharePoint repository to monitor and update quality thresholds as required.

SUMMARY – SES HAS BEEN IMPLEMENTING STRUCTURED AND DISCIPLINED PMOs THROUGHOUT THE COUNTRY FOR THE LAST FIFTEEN (15) YEARS. SES IS CONSIDERED AN INDUSTRY LEADER IN POMI

IMPLEMENTATION AND CURRENTLY HAS A COPYRIGHT PENDING FOR THE ONLY POMI MATURITY MODEL IN THE WORLD.

4.1.2.1 Staffing

The table below lists the labor categories who are primarily responsible for this task as well as those listed as secondary:

| Primary | Secondary |
|---|---|
| Project Manager Project Scheduler / Change Control | Technical / Administrative Assistant Administrative Assistant. |

4.1.3 Deliverables

| Deliverable | Description |
|---|---|
| Monthly Status Report | Identify all issues, corrective actions, and provide resolutions for each DDI phase. |
| Corrective Action Plan | Identifies areas of risk, impact to project, mitigation strategy, and corrective action suggested for the state. |
| ***POMI Operations Document | POMI Operations Document and Processes/Workflows submitted for approval NLT 14 Business Days from Contract Start Date |
| ***POMI Processes & Workflows | POMI Operations Document and Processes/Workflows published within 1 Business Day after Approval |
| ***POMI Document Updates | POMI Document Updates published within 1 Business Day after Approval |
| *** POMI Accountability & Performances Metrics | POMI Metrics Approved within 14 Business Days from Contract Start Date |

***** ADDITIONAL SES DELIVERABLES AND/OR PERFORMANCE MEASURES**

4.1.4 Performance Assurance

| Performance Measure | Key Performance Indicators |
|---|--|
| 100% of the recommended resolutions and risk mitigations will result in allowing the contractors to return to execution of their approved work plans in order to continue to progress towards transition to successful operations. | Team SES will ensure that 100% of resolutions and risk mitigations recommended will result in continued contractor progress towards their approved work plans. |
| SES PMO Focus Areas | The twenty (20) focus areas provide the accountability measures that Team SES will use to assess the overall performance. |

4.2 Key Activity #2

Facilitate the Executive teams (Steering Committee and Sponsors) with management activities including development and implementation of key documents (i.e. project charter, governance roles) and executive meetings.

DELIVERABLES:

- Project Charter document
- Project Governance document
- Meeting agendas and notes
- Written documentation of all major decisions

PERFORMANCE MEASURES:

- Project Charter and other start-up documents will be submitted for Agency approval within 30 calendar days of the beginning of the contract.
- Meeting agendas will be distributed 2 business days prior to each meeting.
- Meeting notes will be distributed 2 business days after the conclusion of the meeting.
- All written documentation of the major decisions will be submitted to the Agency's Project Director for approval within 1 business day of the decision(s). Once approved by the Agency's Project Director the decisions will be distributed and posted in the project library.

MONITORING:

- The Agency's Project Director will review deliverables at least quarterly.

4.2.1 Understanding

As part of our role as the POMI vendor for the State, Team SES understands that we will act as facilitators for the Executive teams. We will manage activities including development and implementation of key documentations. Our team will complete Project Management documentation and create meeting agendas and complete notes of these meetings and all other major decisions. All project and meeting documentation will be completed within the performance measurement guidelines listed and will be available for the Project Director to review on a quarterly basis.

4.2.2 Approach

In a large, complex project such as the IME DDI implementation, it is critical to be proactive rather than reactive. Executive Meetings and reviews serve the important role of effectively communicating the accurate status of the project to stakeholders and help ensure project events, documents, and tasks are completed in a timely and accurate manner.

FACILITATION OF MEETINGS

Project plans and schedules from the IME Units will be used to coordinate and communicate the key milestones, tasks, and deliverables reflected in the MWP and individual Implementation Work Plans. The SES POMI will schedule and facilitate numerous meetings in support of management activities.

To ensure all IME Executive meetings are well-planned and conducted in a very professional and efficient manner, the SES Team will use experienced, trained Facilitators to facilitate each

Tab 4: Bidder’s Approach to Meeting Key Activities

meeting. The results and decisions from the meetings will be documented and communicated in a timely manner to all appropriate IME project members.

To facilitate implementation, the following assumptions are part of the SES Team’s proposal analysis/response:

- All IME Units will have sufficient team resources included in their plans/schedule to attend and support project meetings
- All IME Units will utilize project meeting minutes to ensure understanding of relevant project issues

Some of the key project meetings to be facilitated and coordinated are:

| <i>MEETING/COMMUNICATION</i> | <i>FREQUENCY</i> | <i>PARTICIPANTS & DESCRIPTION</i> |
|--|--|---|
| FORMAL MEETINGS AND COMMUNICATION | | |
| AGENDAS, MEETING MINUTES, AND DECISION DOCUMENTATION (AS NEEDED) ARE PROVIDED FOR FORMAL MEETINGS | | |
| Project Status And Schedule Review | Bi-Weekly | POMI and team leads meet to review the project schedule and project effort and identify any scope or overall project issues, status and action items. |
| Risk Management Meeting | Bi-Weekly | POMI and team leads meet to review potential and known risks and apply mitigation and resolutions steps for each identified risk. |
| Expectations / Kick-Off Meeting | Per Deliverable | Prior to development of a deliverable, an Expectations and Kick-off meeting must be held. |
| Deliverable Review | Per Deliverable | A series of meetings must be conducted to collaboratively understand the scope of each deliverable between assigned deliverable owners (IME Stakeholders and SES Team). |
| Comments Resolution Meeting | Per Deliverable | Finally, if the deliverable is rejected after formal submission, a Comments resolution meeting must be conducted. |
| Formal Review | Subsequent To Key Milestone Deliverables | Meeting held to review progression of project by reviewing the key deliverables. Key project team leads and stakeholders must attend. This process established a schedule for meetings to be conducted at key project milestones in order to assess project progress. |
| Technical Interchange | Ad-Hoc; Conducted | Project leads and affected team leads will address and resolve any functional/technical |

Tab 4: Bidder’s Approach to Meeting Key Activities

| <i>MEETING/COMMUNICATION</i> | <i>FREQUENCY</i> | <i>PARTICIPANTS & DESCRIPTION</i> |
|--|--|---|
| | Twice A Month During Development, Implementation, And Post Implementation Period | issues. |
| Change Control Meeting | Ad-Hoc | When new requirements are raised that are not part of the Contract/SOW, a meeting must be held to discuss and scope the change. |
| <i>INFORMAL MEETINGS AND COMMUNICATION</i> | | |
| Brown Bag Session | Bi-Monthly | Sessions will be conducted by the SES Team with project team members to informally discuss project topics. |
| <i>AN AGENDA AND MEETING MINUTES ARE OPTIONAL</i> | | |

The SES Team will use a structured and efficient project meeting process. The entire Project Team will be provided training and guidelines on how to conduct and participate in effective meetings. A Project Meeting Schedule will be maintained on SharePoint and provided as part of each users SharePoint login home web page.

Some basic meeting guidelines that the IME will implement and enforce on a regular basis are:

- All meetings will be scheduled at least 2 days in advance (when possible)
- Each meeting will have an identified Meeting Owner and Agenda (no exceptions)
- Meeting agendas will be available at least 1 day before the meeting
- All meetings will be scheduled via Outlook or SharePoint; attendees will confirm receipt and meeting acceptance via SharePoint
- All meetings will have meeting minutes produced within 1 business day after each meeting
- The meeting minutes will be made available in the electronic project library documentation repository – meeting minutes comments will be tracked and maintained via SharePoint
- All action items and issues will be updated and tracked via SharePoint Issues Management System
- All decision documentation will be updated and maintained in SharePoint
- Regular SES POMI monitoring and assessment of IME meetings

PROJECT GOVERNANCE AND DOCUMENTATION

It is imperative that the IME DDI project operates with a sound, effective project governance structure and capability. The SES POMI has assisted numerous State Medicaid Agencies and Fortune 200 companies in setting up effective project governance structure to support large, mission critical projects.

Key project governance documentation elements include:

- Outline the relationships between all internal and external groups involved in the project
- Describe the proper flow of information regarding the project to all stakeholders
- Ensure the appropriate review of issues encountered within each project
- Ensure that required approvals and direction for the project is obtained at each appropriate stage of the project.

The existing DHS leadership structure and processes will be leveraged to develop documented governance procedures for approval and implementation. As in the past, the SES approach to developing an effective project governance model for the IME projects will satisfy the following nine (9) roles:

- ✓ **Establish** the basis for project governance, approval, and measurement —including defining roles and accountabilities, policies and standards, and associated processes
- ✓ **Evaluate** project proposals to select those that are the best investment of funds and scarce resources and are within the firm's capability and capacity to deliver
- ✓ **Enable**, through resourcing of projects with staff and consultants, harnessing and managing of business support and the provision of the governance resources
- ✓ **Define** the "desired business outcomes" (end states), benefits, and value — the business measures of success and overall value proposition
- ✓ **Control** the scope, contingency funds, overall project value, etc.
- ✓ **Monitor** the project's progress, stakeholder's commitment, results achieved, and the leading indicators of failure
- ✓ **Measure** the outputs, outcomes, benefits, and value — against both the plan and measurable expectations
- ✓ **Act** to "steer" the project into the organization, remove obstacles, manage the critical success factors, and remediate project or benefit-realization shortfalls
- ✓ **Develop** the organization's project delivery capability — continually building and enhancing its ability to deliver more complex and challenging projects in less time and for less cost while generating the maximum value

DEVELOPMENT AND IMPLEMENTATION OF KEY DOCUMENTS

The SES POMI will implement PM standards and procedures for documentation based on proven experience gained in numerous other critical, large scale projects (including the "stand-up" of the IME). To support CMMI compliance, both Project Planning and Project Monitoring Control Process Areas must be implemented at a mature and repeatable process level.

The purpose of Project Planning is to establish and maintain plans that define project activities. Project Planning includes developing the project plan, interacting with stakeholders appropriately and getting commitment to the plan, and maintaining the plan. Planning begins with requirements that define the products and project.

| SEI CMMI PROJECT PLANNING PROCESS AREA | | |
|---|---|--|
| PROCESS | PROCEDURES | TYPICAL WORK PRODUCTS |
| 1. Establish Estimates | <ul style="list-style-type: none"> Estimate the Scope of the Project Establish Estimates of Project Attributes Define Project Life Cycle Determine Estimates of Effort and Cost | <ul style="list-style-type: none"> Task Descriptions Work Product Descriptions Work Breakdown Structure Technical Approach Size and Complexity of Tasks Project Life Cycle Phases Cost and Schedule Estimates |
| 2. Develop a Project Plan | <ul style="list-style-type: none"> Establish the Budget and Schedule Identify Project Risks Plan for Data Management Plan for Project Resources Plan for Needed Knowledge and Skills Plan Stakeholder Involvement Establish Project Plan | <ul style="list-style-type: none"> Project Schedule Schedule Dependencies Project Budget Identified Risks Risk Priorities WBS Work Packages WBS Task Dictionary Staffing Requirements Skills Inventory Training Detailed Project Plan |
| 3. Obtain Commitment to the Plan | <ul style="list-style-type: none"> Review Subordinate Plans Reconcile Work and Resource Levels Obtain Plan Commitment | <ul style="list-style-type: none"> Record of Subordinate Plan Reviews Re-negotiated Budgets Revised Schedules Revised Requirements List Renegotiated Stakeholder Agreements |

The SES POMI understands that IME Business Modules will prepare and submit detailed project plans and estimates after the implementation strategies and options have been selected by the Project Director – the Project Planning requirements will be used to validate that sufficient monitoring, and control can occur because the project is properly planned.

The purpose of Project Monitoring and Control is to provide understanding into a project’s progress so that appropriate corrective actions can be taken when a project’s performance deviates significantly from the plan. The SES POMI will support the IME Business Modules with the collection and monitoring of project actuals (and subsequent comparisons to the estimates). The SES POMI will work with individual Business Module PMs to obtain the necessary information to ensure the Master Work Plan is updated on a timely basis. The IME PMs will be expected to use the POMI Project Change Control (PCR) process to ensure project changes are properly documented, assessed for impacts, and approved/rejected in accordance with established processes.

Tab 4: Bidder’s Approach to Meeting Key Activities

| SEI CMMI Project Monitoring and Control Process Area | | |
|---|--|---|
| Process | Procedures | Typical Work Products |
| 1. Monitor Project Against Plan | <ul style="list-style-type: none"> • Monitor Project Planning Parameters • Monitor Commitments • Monitor Project Risks • Monitor Data Management • Monitor Stakeholder Involvement • Conduct Progress Reviews • Conduct Milestone Reviews | <ul style="list-style-type: none"> • Records of Project Performance • Records of Significant Deviations • Records of Commitments Reviews • Records of Project Risk Monitoring • Records of Data Management • Records of Stakeholder Involvement • Documented Project Review Results • Documented Milestone Review Results |
| 2. Manage Corrective Action to Closure | <ul style="list-style-type: none"> • Analyze Issues • Take Corrective Action • Manage Corrective Action | <ul style="list-style-type: none"> • List of Issues Needing Corrective Actions • Corrective Action Plan • Corrective Action Results |

UTILIZING INDUSTRY BEST PRACTICES AND PROJECT DOCUMENTATION

The SES Team will utilize the following documents as an aid to ensure the IME Project Teams are on track:

| PROJECT SCOPE STATEMENT | | PROJECT CHARTER | |
|--------------------------------|---------------------------------------|-----------------------------|---------------------------------------|
| 1 | Purpose/Justification | 1 | Purpose/Project Justification |
| 2 | Objectives | 2 | Objectives And Success Criteria |
| 3 | Scope Description | 3 | Scope Description |
| 4 | Functional And Technical Requirements | 4 | Functional And Technical Requirements |
| 5 | Boundaries | 5 | Boundaries |
| 6 | Data Migration Strategy | 6 | Data Migration Strategy |
| 7 | Deliverables | 7 | Deliverables |
| 8 | Acceptance Criteria | 8 | Acceptance Criteria |
| 9 | Constraints | 9 | Constraints |
| 10 | Assumptions | 10 | Assumptions |
| 11 | Alternatives Analysis | 11 | Alternatives Analysis |
| 12 | Cost Estimates | 12 | Cost Estimates |
| 13 | Cost-Benefit Analysis | 13 | Cost-Benefit Analysis |
| 14 | Risks | 14 | Risks |
| 15 | Fund Limitations | 15 | Fund Limitations |
| 16 | Standards | 16 | Standards |
| PROJECT MANAGEMENT PLAN | | RISK MANAGEMENT PLAN | |
| 1 | Purpose | 1 | Purpose |

Tab 4: Bidder’s Approach to Meeting Key Activities

| | | | |
|----|-------------------------------|-----|--|
| 2 | Scope Management Plan | 2 | Risk Planning Process |
| 3 | Schedule Management Plan | 2.1 | Risk Management Planning |
| 4 | Cost Management Plan | 2.2 | Risk Identification Process |
| 5 | Quality Management Plan | 2.3 | Risk Analysis |
| 6 | Change Management Plan | 2.4 | Risk Response Planning |
| 7 | Staffing Management Plan | 2.5 | Risk Monitor And Control |
| 8 | Communication Management Plan | 3 | Risk Planning Detail |
| 9 | Risk Management Plan | 3.1 | Methodology |
| 10 | Procurement Management Plan | 3.2 | Risk Roles And Responsibilities |
| 11 | Assumptions | 3.3 | Budget |
| 12 | Constraints | 3.4 | Risk Management Activities |
| 13 | Supporting Information | 3.5 | Risk Categories |
| | | 3.6 | Definitions Of Risk Probability And Impact |
| | | 3.7 | Reporting |
| | | 4 | Issue Management |

Summary – the IME mission-critical project must have an effective project governance model to ensure project success; additionally, the project governance model must be integrated within the overall organization and project management structure to ensure efficient reporting, oversight, and total accountability for key Stakeholders.

4.2.2.1 Staffing

The table below lists the labor categories who are primarily responsible for this task as well as those listed as secondary:

| Primary | Secondary |
|---|---|
| Project Manager Project Scheduler / Change Control | Technical / Administrative Assistant Administrative Assistant. |

4.2.3 Deliverables

| Deliverable | Description |
|--|---|
| Project Charter | Project Charter and other start-up documents will be submitted for Agency approval within 30 calendar days of the beginning of the contract. |
| Project Governance | Project Governance documentation and other start-up documents will be submitted for Agency approval within 30 calendar days of the beginning of the contract. |
| Meeting Agendas / Notes | Meeting notes will be distributed 2 business days after the conclusion of the meeting. |
| Decision Action Request Documentation | All written documentation of the major decisions will be submitted to the Agency’s |

Tab 4: Bidder’s Approach to Meeting Key Activities

| | |
|--|---|
| | Project Director for approval within 1 business day of the decision(s). Once approved by the Agency’s Project Director the decisions will be distributed and posted in the project library. |
|--|---|

4.2.4 Performance Assurance

| Performance Measure | Key Performance Indicators |
|---|--|
| Project Governance Procedures Document | Project Governance Procedures Document submitted for approval within 14 Business Days from Contract Start Date |
| Approved Project Governance Procedures Document stored in Project Library | Project Governance Procedures Document published within 1 Business Day after Approval |
| Project Governance Procedures Document Updates | Project Governance Procedures Document Updates published within 1 Business Day after Approval |
| 100% of the time all notes, agendas, and meeting materials will be prepared accurately the first time. | Team SES will prepare 100% notes, agenda and meeting materials accurately the first time by executing our standard quality review and control process for all project deliverables. |
| Meeting agendas and meeting materials will be distributed 2 business days prior to each regularly scheduled meeting. | Team SES will fully execute the Communication Plan for coordinating information across projects by distributing meeting agendas and meeting materials two (2) business days prior to each regularly scheduled meeting. |
| Meeting notes will be distributed 2 business days after the conclusion of the meeting. | Team SES will fully execute the Communication Plan for coordinating information across projects by distributing meeting notes two (2) business days after the conclusion of each meeting. |

4.3 Key Activity #3

Establish the project management structure and bring the appropriate tools (including a dashboard tool – see Key Activity #11) that will be shared with other contractors and that will return a successful implementation result. The structure and tools will allow monitoring of work plans, resolution of issues, and mitigation of risk. Necessary elements of this reporting include any elements that without resolution can affect time, cost or performance constraints on the project(s). All interdependencies within the project should be identified and prioritized. This contractor will facilitate all meetings that oversee the project activities.

DELIVERABLES:

- All project organizational plans
- All project tools
- A reporting structure that identifies risk that affect time, cost, or performance constraints on the project.
- A listing of all key management positions, job descriptions, and percent of time dedicated to that job.
- Written meeting agendas, notes and decisions.
- Walkthroughs of deliverables as needed.

PERFORMANCE MEASURES:

- Identification and use of structure and tools will be an all inclusive methodology resulting in efficient, accurate reporting and a true picture of the status and results of all contractors' implementation activities resulting in a successful, timely implementation of all milestones and tracking and maintaining of all work plan schedules. Submission to the Agency's Project Director of the structure and recommended tools will be submitted within 15 calendar days of the start of the Contract.
- All structure and tools will be in place within 45 calendar days of the start of the Contract.
- All tools will be used 100% of the time unless written approval of the Agency's Project Director is received.

MONITORING:

- The Agency's Project Director for the project will interact on a frequent basis with the Contractor's project manager to review status, timelines and resolve issues related to successful implementation. The Project Director will review the status reports and all corrective action plans. The Project Director will approve all management plans and tools prior to the implementation of those plans and/or tools.

4.3.1 Understanding

Team SES understands our role in establishing the project management structure needed for the successful implementation of the DDI Projects and will bring the needed tools to be shared with other contractors. Our team will provide structure and reporting tools that will allow monitoring of work plans, resolution of issues, and mitigation of risk. We understand that accurate reporting is necessary to identify elements that, without resolution, can affect time, cost, or performance constraints on the project(s). All interdependencies within the project will be identified and prioritized to provide a realistic view of project happenings. Team SES will

facilitate all meetings that oversee the project activities. Our tools will be utilized 100 percent of the time to ensure continuity of POMI processes. Our POMI staff will interact with the State Project Director frequently to review all aspects of project status and to resolve issues.

4.3.2 Approach

Software Engineering Services (SES) has a fully developed, functional Enterprise PMO Toolkit. As depicted below, our tool kit consists of several components to provide an efficient, comprehensive Enterprise PMO solution.

| SES ENTERPRISE PMO TOOLKIT | | |
|---|---|--|
| Project Management Office Manager (PMOMg) | Electronic Project Library (SharePoint Based) | PMO Maturity Model (Best Practice Framework) |

Details of the Electronic Project Library are discussed in Key Activity # 4; and details of the PMO Maturity Model can be reviewed at www.PMOMaturityModel.org.

Although details of Team SES PMOMg are covered in Attachment PMOM, a brief overview is provided below.

PMOMg, automated tool, with efficient dashboard reporting, provides a PMO structure that supports key PMO features and functions that are in compliance with CMMI Level 3 and PMI PMBoK standards, and a common platform for workplans, issue resolution, risk mitigation and overall project communication and reporting. Again, PMOMg provides vital project information targeted to three main user groups - POMI, PM, and Stakeholders. PMOMg will extend the project management oversight, control, and support for each IME DDI project. PMOMg will allow the SES POMI to achieve the following operational objectives:

- Business Integrator- at multiple levels dependent upon your business need
- Project Management Platform- encompass all the people (project stakeholders), processes (methodologies, and practices), and tool (templates, etc) influencing project performance
- Organizational Entity- offers projects and executives a platform to collaborate

PMOMg also ensures project managers apply consistent project management and reporting practices. PMOMg will help standardization of processes to support projects from initiation to closure quickly and efficiently. PMOMg provides guidance and support to establish POMI functions as per IME business needs. Key POMI functions supported include:

- **Methodology.** This function of the POMI is targeted at developing and implementing a consistent and standardized process of managing several projects according to a chosen methodology.

- **Training.** Conducting project management office training allows for the improvement of competencies and skills for project managers and team leaders. This function ensures that managers and teams with appropriate skills and abilities are employed and assigned.
- **Internal PM I Consulting.** PMs will be provided project advice regarding POMI best practices. POMI guidance without wasting time on ineffective communications.
- **Cost reduction through efficient, centralized services.** The PMOMg will increase project efficiency through the centralization of services such as staff, supplier, customer, and equipment management. Centralizing these services also standardizes how they are implemented, thereby reducing the costs incurred by using different methods on different projects.
- **Making sure that stakeholders have up-to-date, accurate information.** The PMOMg will Update Plans and produce Report Status for projects, programs, and portfolios. Depending on the level of sophistication of the Knowledge Base, this may be a manual activity or a thoroughly automated function.
- **Supporting ongoing improvement in project management.** Organizations and their projects are constantly changing, and the POMI must change with them. When the original problems are solved, new problems or opportunities are identified, and the POMI can then support ongoing improvements in project management.

PMOMg has a focused goal of improving project performance. A successful implementation of PMOMg will enable more projects to deliver high-quality results on time and within budget. PMOMg also incorporates industry best practices like PMBOK, OPM3, and CMMI.

PMOMG ENHANCEMENTS WITHIN EACH AREA ARE:

- POMI
 - Enhances governance
 - Allows users to create a new project
 - Provides POMI Reports
 - Project Health across all projects
 - Balanced scorecard
 - POMI Performance
 - Allows users to perform POMI Reviews
 - Offers capabilities for PM coaching & mentoring (optional)
 - Offers multi-project coordination & collaboration
 - Provides POMI- PM Feedback
- PM
 - Offers methodology that is supportive of PMBOK, and CMMI
 - Provides PM Reports
 - Project Health
 - Project Risks

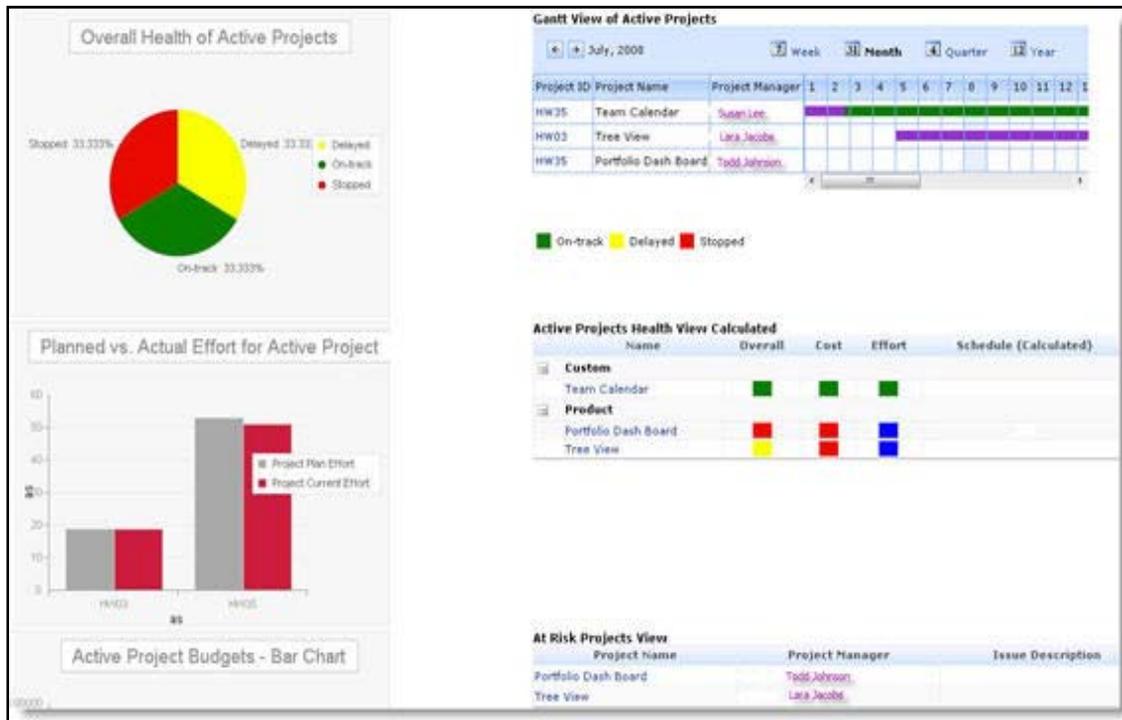
Tab 4: Bidder's Approach to Meeting Key Activities

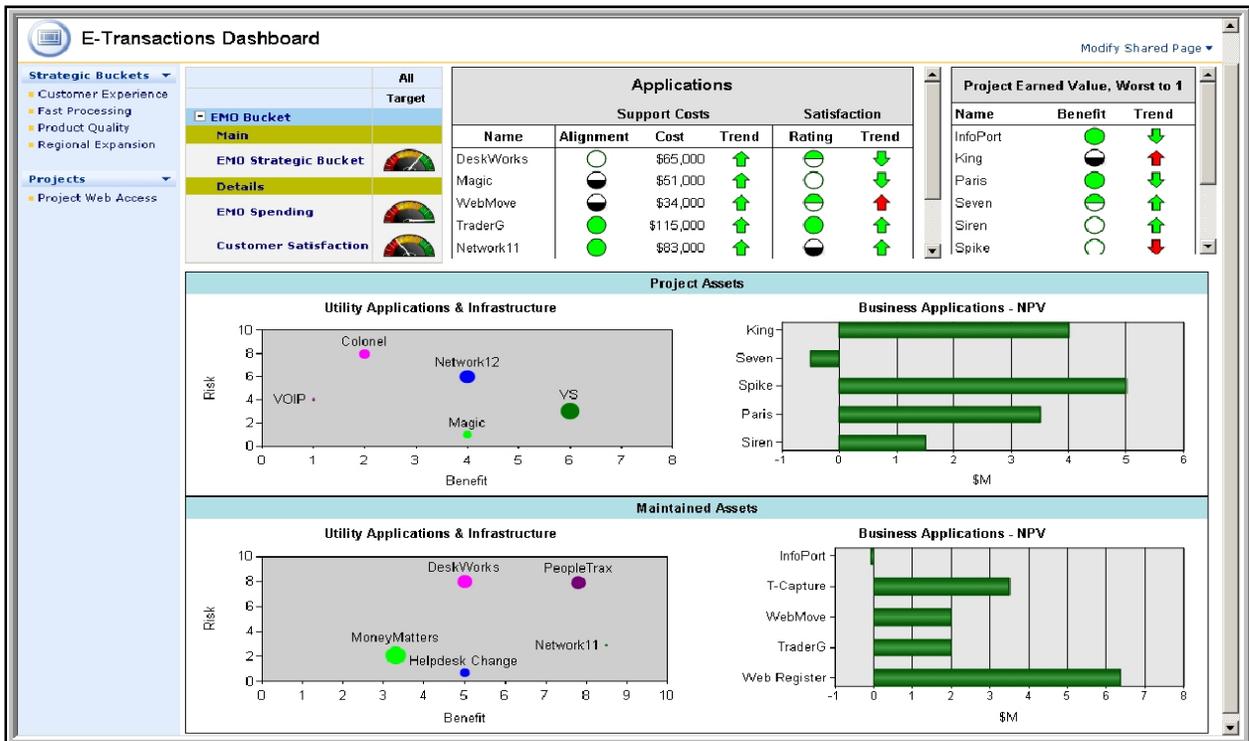
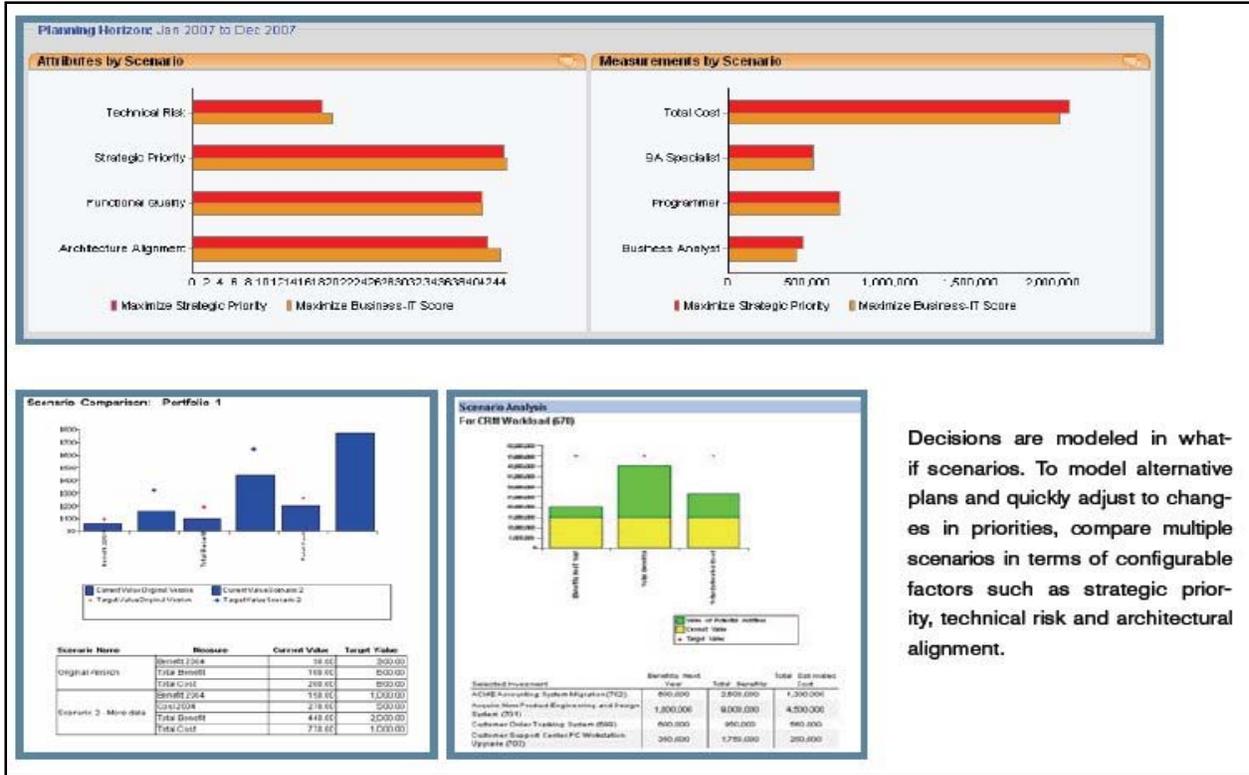
- Project Issues
- Project Action Items
- Project Change Requests
 - Allows PM to communicate with POMI and other project stakeholders
 - Allows PM to capture lessons learned and project closure
- Project Stakeholders
 - Offers visibility into projects
 - Provides enhanced reporting
 - Ensures enhanced performance measurement & reporting

PMOMG FEATURES

- Web- based
- Role-based access
- User-Specific Dashboard
- Standard and Role-specific reports
- User management
- Controlling services assess, review, and audit project status
- Directive services are used to directly manage projects

PMOMG DASHBOARD EXAMPLES





BENEFITS OF PMOM

The following benefits are observed by organizations implementing PMOM:

- Provides a centralized place to access all projects
- Ensures that projects have appropriate infrastructure
- Defines POMI, PM, and other stakeholder roles and responsibilities
- Establishes standards and processes
- Implements relevant project management templates
- Provides POMI services to projects
- Implements project monitoring, oversight, and performance
- Enhances communication
- Assesses and improves project management throughout the organization
- Standardizes project management practices throughout the organization
- Improves communication so that senior executives and stakeholders know project status
- Improves communication and decision-making so projects achieve strategic objectives
- Improves the POMI operation. The POMI improves its own operations by measuring its effectiveness, implementing changes to existing services, and adding new services.
- Improves PM maturity. The PMOMg can assess the overall capability of the organization to reliably deliver acceptable project results on time and within budget. It can then develop and implement a long-term plan to improve that capability.

4.3.2.1 Staffing

The table below lists the labor categories who are primarily responsible for this task as well as those listed as secondary:

| Primary | Secondary |
|--|--|
| Project Scheduler / Change Control Issues / Risk Manager Project Control Specialist | Project Manager Administrative Assistant. |

4.3.3 Deliverables

| Deliverable | Description |
|--|---|
| Project Organization Plan | Includes all activities of project so all needed implementation work is identified and completed with proper testing |
| Risk Management Plan | Consisting of risk management planning, risk identification, risk quantitative and qualitative analysis, response planning, monitoring, and control activities. |
| Meeting Agenda / Notes | Meeting notes will be distributed 2 business days after the conclusion of the meeting. |
| Decision Action Request Documentation | All written documentation of the major |

Tab 4: Bidder’s Approach to Meeting Key Activities

| | |
|---|---|
| | decisions will be submitted to the Agency’s Project Director for approval within 1 business day of the decision(s). Once approved by the Agency’s Project Director the decisions will be distributed and posted in the project library. |
| Deliverable Acceptance Documentation | Provides breakdown of Deliverable Assessment including: <ol style="list-style-type: none"> 1. Title of the Deliverable Analyzed 2. Summary of the Observations 3. Type of Issue found (Consistency, Correctness, Completeness) 4. Recommendation 5. Reference Documents |

4.3.4 Performance Assurance

| Performance Measure | Key Performance Indicators |
|--|--|
| Identification and use of structure and tools will be an all inclusive methodology resulting in efficient, accurate reporting and a true picture of the status and results of all contractors' implementation activities resulting in a successful, timely implementation of all milestones and tracking and maintaining of all work plan schedules. Submission to the Agency’s Project Director of the structure and recommended tools will be submitted within 15 calendar days of the start of the Contract. | Team SES will submit our project structure and recommended tools to the Project Director within 15 calendar days of contract start. Our structure, tools, and all inclusive methodology will be comprehensive and result in efficient and accurate reporting for the status of the project and implementation activities to ensure successful completion of the project. |
| All structure and tools will be in place within 45 calendar days of the start of the Contract. | Team SES will ensure that our project tools and corresponding structure will be implemented and in place for use within the first 45 days of the contract. |
| All tools will be used 100% of the time unless written approval of the Agency’s Project Director is received. | The Team SES tools and structure will be utilized 100% of the time for all aspects of the project unless written approval is obtained from the Project Director. |

4.4 Key Activity #4

Document the project through a project library, meeting agendas, meeting notes, decision documents and any other relevant aspects of project activities of any contractors involved in the implementation of the DDI project so that a clear, concise record of all elements is created as a historical reference.

DELIVERABLES:

- Project Library including an index.
- Meeting agendas.
- Meeting notes.
- Decision documents.

PERFORMANCE MEASURES:

- Documentation of the project will be of a nature that the Agency's Project Director will be able to identify 100% the status at any time of all timelines, milestones, issues, resolutions, risks, risk mitigations, stakeholder decisions, and results.
- Submit for the Agency's Project Director's approval a project library outline prior to the implementation of the project library within 10 calendar days of the execution of the Contract.

MONITORING:

- The Agency's Project Director will approve the initial structure and content of the project library prior to implementation. On a periodic basis following the implementation of the project library the Project Director will random sample the project library to assure that it is being maintained with the most recent documents.

4.4.1 Understanding

Team SES understands that our role in the POMI is to document all facets of project happenings and store all documentation in a project repository. Our focus on documentation will include all relevant aspects of project activities for contractors, as well as meetings held to include key project stakeholders. All decisions will be documented in a clear and concise manner following a standardized template to allow the Project Director to identify the project status at any time throughout each phase. The project library outline will be provided to the Project Director for approval before implementation and our Project Manager will ensure that all documentation is maintained and available.

4.4.2 Approach

SES implements an Internet-accessible Electronic Project Library for every project we undertake in order to foster a collaborative effort among project team members, manage and control project execution, streamline projects/business processes, and assist communications with all stakeholders. The SES Electronic Project Library solution is an ideal fit for the collaborative requirements of the IME DDI Project.

SES uses Microsoft SharePoint as an integrated suite that helps improve organizational effectiveness by providing comprehensive content management and Enterprise Search, accelerating shared business processes, and facilitating information sharing across boundaries for better business insight.

SHAREPOINT ELECTRONIC PROJECT LIBRARY FEATURE AREAS

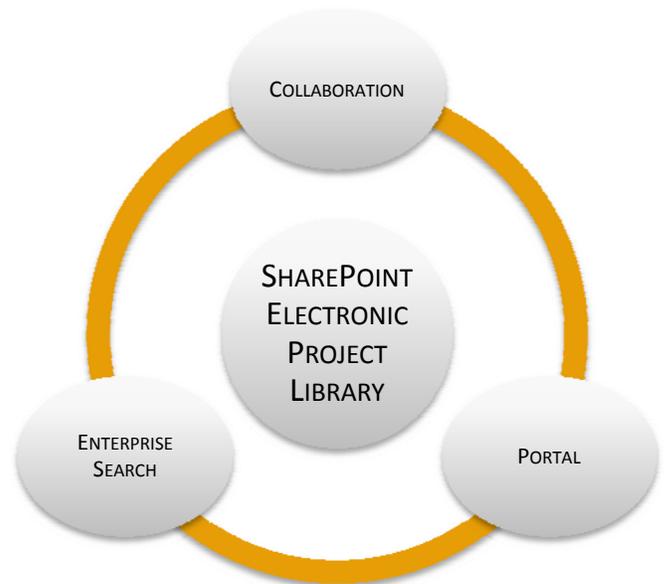
The SharePoint collaboration and content management server provides the project team with the platform and tools they need for server administration, application extensibility, interoperability, and the control system for its Electronic Project Library.

The featured areas to be utilized specifically for the Iowa POMI project are as follows:

Collaboration: The enabling technologies that allow the project team to work together effectively, providing intuitive, flexible, and secure mechanisms for sharing information through the use of collaborative tools like wikis and blogs, collaborating on and publishing documents, maintaining task lists, conducting surveys, developing and maintaining site templates customized for specific business uses, and implementing workflows.

Portal: The facilities that provide the capabilities to personalize the user experience of an enterprise Web site, to target content to various audiences based on sets of rules, to automatically facilitate intuitive navigation through the Web site while tailoring the navigation to the individual rights of the user, to deliver comprehensive site content management and structural facilities, and more.

Enterprise Search: The critical ability to quickly and easily locate relevant content distributed across a wide range of sites, document libraries, business application data repositories, and other sources, including files shares, various Web sites, Microsoft Exchange public folders, and Lotus Notes Databases — and to find the appropriate people who can help answer questions or be involved in projects.



SHAREPOINT DOCUMENT REPOSITORY

Proper records management is vital to the IME Project's knowledge management and regulatory compliance. SharePoint provides a new set of features for creating and supporting formal records management capabilities in an organization. The core of the records management implementation in SharePoint is a stable, scalable, and efficient repository.

SharePoint is an extremely robust portal that provides a number of significant benefits for document management and collaboration, and SES's implementation of SharePoint as a single-source project portal significantly enhances its baseline capabilities to provide a productivity-enhancing tool, as outlined below:

- ✓ The Electronic Project Library will be a single-source portal for all project information. Users will access all project information and documents through the Electronic Library. They will be able to find and reuse timely and relevant information and quickly locate

and access documents, subprojects or team sites, and best practices by searching or browsing—all through the portal.

- ✓ Users will be more productive because they will have immediate access to up-to-date, relevant information. All project information will be structured in a logical set of areas and folders in the Electronic Library. Users will be able to personalize the Electronic Library by creating "My Site," a customized view of the site in which they choose exactly how they want to view site information. They will also be able to expose a public version of My Site so that they can show customized information to other users.
- ✓ Users can sign up for email-based alerts to find out when information has been created or updated anywhere in the Electronic Library. Alerts are subscription-based, which means each user controls the alerts he or she receives.
- ✓ SharePoint allows relevant information to find the appropriate users through Alerts and Audience Targeting. Alerts notify users when any relevant file, Electronic Library site, person, or application has been added or changed.
- ✓ The Electronic Library can be configured to allow teams and individuals to contribute content that will be seen by some or all of the users.
- ✓ SharePoint enables users to locate files, project plans, and best practices in file shares, websites, Microsoft Exchange Public Folders, team sites, and databases. Users can find more than just documents and websites.

PERFORMANCE CAPABILITIES

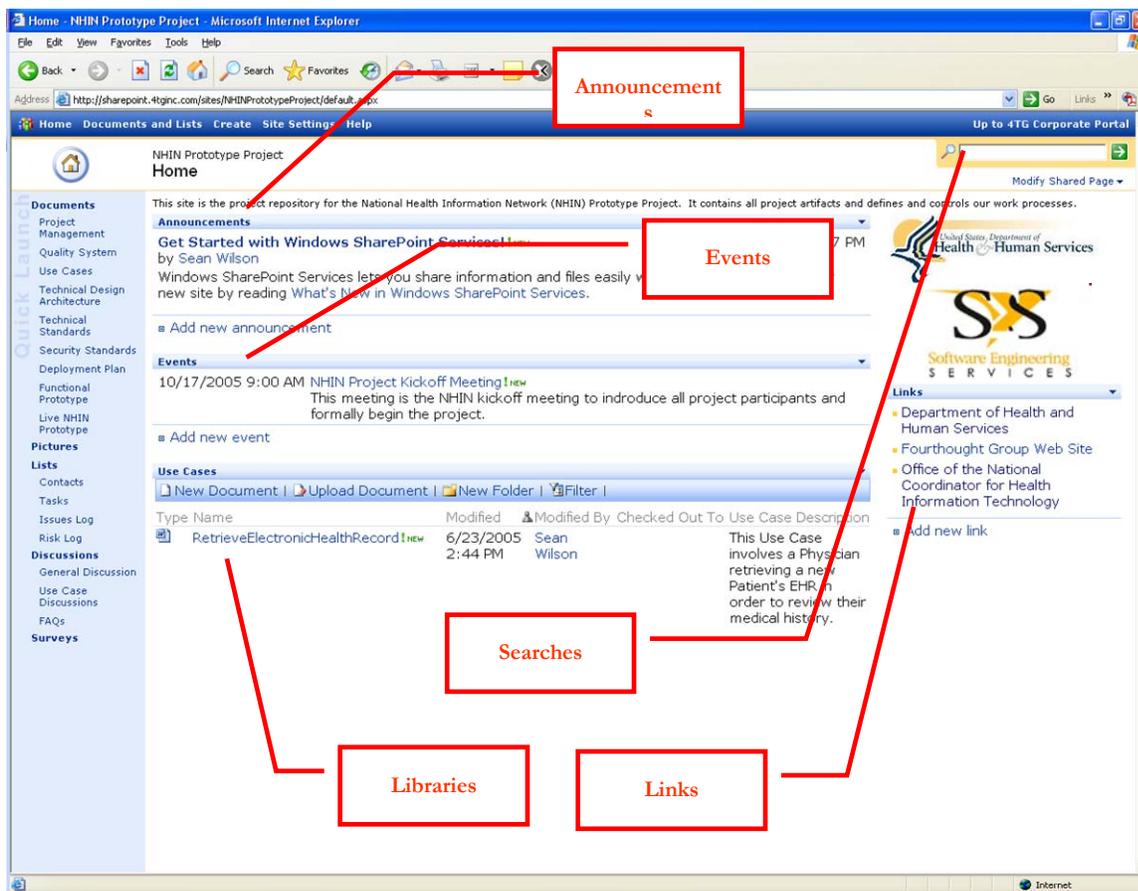
For IME Electronic Project Library, SharePoint will provide the following security-enhanced, scalable, and reliable, high-performance capabilities for site/library management.

- ✓ **Storage** - Allowing content such as documents (Office documents, PDFs, custom binary files), Web pages, lists, and other types of information to reside in a common data repository (Microsoft SQL Server™) with full data management capabilities, version control, metadata, and site-level search.
- ✓ **Security** - Providing the essential elements of comprehensive security management by employing a range of authentication providers (for example, Kerberos, NTLM, basic, the Active Directory® directory service, LDAP, ASP.NET forms and Web single sign-on authentication), policy management, group management, and permission levels ranging from individual items in list to entire sites.
- ✓ **Management** - Enabling centralized and delegated administrative facilities for Windows SharePoint Services sites from operational and application perspectives, in addition to ongoing site monitoring.
- ✓ **Deployment** - Providing an architecture that supports flexible, distributed, and scalable deployment architectures across Web and database servers; enabling configuration and site feature management.

- ✓ **Site Model** - Providing a template-based infrastructure for deployment of custom sites, providing automated navigation and a consistent user interface while allowing for extensive and flexible customization of site formatting and layout.
- ✓ **Extensibility** - Providing a comprehensive application programming interface (API) that allows custom applications to be built on the Windows SharePoint Services architecture, employing use of XML Web services and SOAP, providing event handlers for cross-integration with other applications, and providing methods for migrating content into Windows SharePoint Services sites.

SES POMI SHAREPOINT AT A GLANCE

The Electronic Project Library is an extremely flexible Web Portal that will be configured to maximize productivity on the IME DDI Project. The basic site structure will include a main Electronic Project Library page that serves as the entry point to the site and contains project-wide information that can be configured by site administrators.



Typical main page information includes:

Announcements – project-wide announcements to provide information such as major deliverable completion and significant accomplishments.

Events – upcoming meetings, training sessions, and conference calls.

Structured, configurable menu system – a highly configurable menu system along the left-hand side of the page provides users an intuitive, structured way to browse site information. This menu system typically provides entry to the main document library, the team websites, organization charts, and personnel contact information.

Site search – a Web search engine that can search messages, people, and documents within the Electronic Library, including character-level text searches within stored documents.

Surveys – Users can design and post surveys that allow them to collect information from users inside and outside the project.

Discussions – Users can define discussion topics and capture responses in a thread-based fashion similar to public newsgroup sites.

Special interest document libraries – Users can design special interest libraries, such as “Project Management Standards” or “Project Decision Documentation.” Each library functions as its own control group, allowing access to all users or to a particular subset based upon security roles defined by administrators. Each library also allows optional version control and search discovery (include or exclude from searches).

Forms libraries – Users can design and post forms that allow the capture of structured information, such as task completion and document review status.

Charts and graphs – Specialized Web parts allow charts and graphs to be defined and viewed based upon real-time information elsewhere in the site.

Lists – Users can create and track lists based on nearly any information and link the lists to charts, graphs, or other methods of reporting. These lists can be customized to track and report virtually any project information, such as documents, test cases, or deliverables.

Information feeds – Users can link Web parts to external websites that provide feeds for news, stock information, health care issues, and an extremely diverse set of information sources that use standardized information discovery mechanisms such as RSS and XML.

4.4.2.1 Staffing

The table below lists the labor categories who are primarily responsible for this task as well as those listed as secondary:

| Primary | Secondary |
|----------------------------|---------------------------------------|
| Project Control Specialist | Technical / Administrative Specialist |

4.4.3 Deliverables

| Deliverable | Description |
|--|--|
| Project Library Outline / Index | Submit for the Agency’s Project Director’s approval a project library outline prior to the implementation of the project library within 10 calendar days of the execution of the Contract. |

Tab 4: Bidder’s Approach to Meeting Key Activities

| | |
|--|--|
| Meeting Agendas / Notes | Meeting notes will be distributed 2 business days after the conclusion of the meeting. |
| Decision Action Request Documentation | All written documentation of the major decisions will be submitted to the Agency’s Project Director for approval within 1 business day of the decision(s). Once approved by the Agency’s Project Director the decisions will be distributed and posted in the project library. |

4.4.4 Performance Assurance

| Performance Measure | Key Performance Indicators |
|---|---|
| Documentation of the project will be of a nature that the Agency’s Project Director will be able to identify 100% the status at any time of all timelines, milestones, issues, resolutions, risks, risk mitigations, stakeholder decisions, and results. | Team SES will ensure that all documentation for the project will be easily organized and accessible so that the Project Director will easily be able to see project status at any time via the SharePoint portal. |
| Submit for the Agency’s Project Director’s approval a project library outline prior to the implementation of the project library within 10 calendar days of the execution of the Contract. | Team SES will strategically prepare the project portal outline for ease of use and maintenance. The outline will be submitted to the Project Director within 10 days of execution of the contract. |

4.5 Key Activity #5

Review all plans of any contractors having roles in the DDI of the System Services implementation project. (This includes the new MMIS and POS vendors and the current IME contractors). The QA plans procedures and the IVV plans and procedures will be reviewed for purposes of integration and coordination with the overall implementation. Attend all joint application design (JAD) sessions of the System Services contractors.

DELIVERABLES:

- Regular, written summary reports identifying each contractor's work plan status as acceptable with correction action defined for those not found to be acceptable.
- Follow up reports until all System Services and IME contractors' plans are acceptable.
- Written summary of issues or risks as a result of the JAD sessions.

PERFORMANCE MEASURES:

- Once reviewed and approved by the Agency's Project Director and the Oversight Contractor all plans of the contractors will be used as a tool that, when the plans are followed, will allow for a timely, accurate implementation resulting in a successful transition to operations by 100% of contractors.

MONITORING:

- In the case of the IME, each Unit Manager will review the status of their contractor on a weekly basis to determine status towards implementation. All corrective action plans will be reviewed and approved by the Unit Manager.

4.5.1 Understanding

Team SES will review all plans including the MMIS, POS, and IME contractors, as well as the IV&V and QA documentation. Our focus will be on the integration and coordination of system implementation to ensure successful project implementation. In addition, Team SES understands our role in attending all JAD sessions and documentation of summary reports regarding work status and corrective action plans. Follow up reports will be provided to the state until all plans are acceptable. Risks and Issues will be documented throughout the JAD sessions to ensure the state is aware of all project happenings. Our Team will work with the Unit Manager for to review contractor status weekly through implementation. Corrective action plans will be reviewed and approved by the Unit Manager.

4.5.2 Approach

The SES POMI will work with each IME Contractor to address their plans, procedures, and timelines. Each project will consist of implementation activities, tasks with estimated work effort and associated costs, resource allocations, milestones, and deliverables at a minimum. In addition to attending all JAD sessions of the System Services contractors, Team SES will communicate, validate, and coordinate to ensure timely and accurate implementation.



INTEGRATION AND COORDINATION WITH PROJECT GOALS

Each impacted System Service contractor will be required to produce detailed (individual) implementation work plan. The POMI will work with each Contractor to produce a high quality, structured work plan identifying all the implementation activities with fully resourced tasks. Some key activities performed by the POMI include:

- Verify the plans encompass all phases including test and operational plans
- Facilitate all project status meetings and attend JAD sessions
- Develop and distribute agendas and minutes for any transfer related meetings
- Organize all project documentation in the electronic project library
- Oversee and coordinate the population of the issues database to monitor all issues of the implementation project
- Update issues database daily and report as prescribed to the Department
- Identify early, any issues that would put at risk the implementation schedule
- Assist with mitigation of all issues
- Deliver all reports accurately and in a timely manner as prescribed by the Department

REVIEWING PLANS AND PROCEDURES

The quality level of the individual project plans must meet or exceed the acceptance criteria established by the Agency. Detailed weekly status/progress reports will be produced and delivered to the Department. The SES POMI will implement the following steps to ensure fully functional, validated, and complete contractor plans:

STEP 1 - The POMI will conduct Requirement Assessments to verify and validate the soundness of the IME project requirements.

STEP 2 - Each System Service contractor will be required to identify and clarify their system interfaces and interdependencies; Interface Coordination Documents will be created to identify and track all requirements, including newly derived requirements.

STEP 3 - The POMI will conduct detailed analysis of their proposed MMIS Replacement System (or Service) Development Life Cycle (SDLC); the IME System Service contractor must demonstrate an understanding of the SDLC submitted (newly proposed SDLCs will require additional risk analysis and determination).

STEP 4 - The POMI will require both the Project Plan and Project Schedule to be verified, validated, and approved separately.

- Each System Service contractor's project plan will be evaluated and analyzed for planning completeness, each project plan will receive a PASS/PENDING/FAIL rating; the project plan is expected to satisfy specific planning criteria depending on the type of project, complexity, interfaces, requirements soundness, and meeting IME stated deliverable.
- Each System Service contractor's project schedule will be evaluated and analyzed for realism, staff considerations, contingencies, milestones to deliverables assignment and dependencies; each project schedule will receive a PASS/PENDING/FAIL Rating based on POMI project schedule acceptance criteria.

STEP 5 – POMI staged approval process:

- Projects plans and schedules rated PENDING/FAIL will be expected to resolve the discrepancies prior to approval by the POMI and the Project Director.
- Project plan documentation will be moved into the STAGED (pending) project library and subsequently when approved to the PRODUCTION project library.
- Project schedules rated PENDING/FAIL will be moved to the STAGED Version, until schedule and resource conflicts or other project schedule issues are resolved.
- Project schedules rated PASS will be merged into MS Enterprise Project Plan.
- After resolution of any project conflicts/discrepancies, project schedules to MS Enterprise Project PRODUCTION Version; this will represent the baseline plan version.

DEVELOPMENT OF INTEGRATED PROJECT SCHEDULE

The SES PIMO will work with each IME Business Module to address their workplan and timelines. All of the IME implementation projects represent the scope of work for the Master Integrated Enterprise Project Schedule. Each project will consist of implementation activities, tasks with estimated work effort and associated costs, resource allocations, milestones, and deliverables at a minimum (*CRITICAL: All IME MMIS enhancements, updates, and changes are identified, implemented and properly tested.*). As with any large scale system integration effort, the MERP PMO will be required to:

- Communicate a minimum level of project planning documentation that must be submitted with the project plans
- Validate and ensure plan completeness, risks with associated mitigation strategies, and dependencies with other IME projects
- Coordinate and obtain a final complete project plan with a project schedule to be approved by the Project Director

The individual project plans and schedules will be integrated into a Integrated Enterprise Project Schedule that clearly shows a program/enterprise view of activities, tasks, estimates, milestones, and deliverables. The implementation activities, such as Medicaid policies, business processes, MMIS systems and interfaces will also be planned and integrated in the MWP.

The quality level of the individual project plans must meet or exceed the acceptance criteria established by the PIMO.

The integration of multiple project schedules is made possible when the desired level of planning detail is communicated and subsequently delivered. A major requirement (or successful attribute of the IME) will be whether the Integrated Project Schedule has sufficient monitoring of key system and servicing areas to ensure and validate a credible MMIS system requirements and testing.

INTEGRATED MASTER WORK PLAN

Team SES realizes the importance of following best practices and our resources have all utilized and / or certified in PMI principles. Utilizing PMBOK best practices and CMMI Level 3 processes, the State of Iowa is guaranteed all Project Management Plan updates will be correct and project specific for delivery. Team SES will develop, maintain, and oversee updates to the following components of the Master Work Plan (PMP):

POMI

MASTER WORK

PLAN

- 1 Purpose
- 2 Scope Management Plan
- 3 Schedule Management Plan
- 4 Cost Management Plan
- 5 Quality Management Plan
- 6 Change Management Plan
- 7 Staffing Management Plan
- 8 Communication Management Plan
- 9 Risk Management Plan
- 10 Procurement Management Plan
- 11 Assumptions
- 12 Constraints
- 13 Supporting Information

While the MWP describes an overview of all Management Plans for the IME project, Team SES will also provide updates and maintenance to the nine key individual plans as well. These plans are described in 4.5.3 Deliverables. Maintenance and Updates will be submitted to the State for review along with a justification for any significant changes. All plans will be maintained on SharePoint for the state to easily view and provide comments for feedback to the SES Team

4.5.2.1 Staffing

The table below lists the labor categories that are primarily responsible for this task as well as those listed as secondary:

| Primary | Secondary |
|----------------------------------|--|
| MMIS / MITA SME ICD / HIT SME | Project Scheduler / Change Control Issues / Risk Manager Technical / Administrative Specialist |

4.5.3 Deliverables

| Deliverable | Description |
|--|---|
| Work Plan Summary Report | Regular, written summary reports identifying each contractor's work plan status as acceptable with correction action defined for those not found to be acceptable. |
| Risk Weekly Summary Report | Identify all issues, corrective actions, and provide resolutions for each DDI phase. |
| Corrective Action Plan | Identifies areas of risk, impact to project, mitigation strategy, and corrective action suggested for the state. |
| Project Management Plan | Plan that encompasses all nine management areas for the IME Project |
| Procurement Management | Consisting of procurement planning, contracts planning, authoring solicitations, evaluation, requesting solicitation responses, selecting contractor(s), administering contract(s), and contract(s) closing activities. |
| Schedule Management Plan | Consisting of activity definition and sequencing, resource estimating, duration estimating, schedule development, and schedule control activities. |
| Integration Management Plan | Consisting of project plan development, project plan execution, and integrated change control activities. |
| Scope Management Plan | Consisting of project initiation, scope planning, scope definition and scope change control activities. |
| Cost Management Plan | Consisting of resource planning, cost estimating, budgeting and cost control activities. |
| Human Resources Management Plan | Consisting of organizational planning, technical project team acquisition and staff development activities. |
| Risk Management Plan | Consisting of risk management planning, risk identification, risk quantitative and qualitative analysis, response planning, monitoring, and control activities. |
| Quality Management Plan | Consisting of quality planning, quality assurance and quality control activities. |
| Communications Management Plan | Consisting of communications planning, information distribution, progress and |

Tab 4: Bidder’s Approach to Meeting Key Activities

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|--|--|
| | performance reporting, and stakeholder communications management activities. |
|--|--|

4.5.4 Performance Assurance

| Performance Measure | Key Performance Indicators |
|---|--|
| <p>Once reviewed and approved by the Agency’s Project Director and the Oversight Contractor all plans of the contractors will be used as a tool that, when the plans are followed, will allow for a timely, accurate implementation resulting in a successful transition to operations by 100% of contractors.</p> | <p>Team SES will review all plans including the MMIS, POS, and IME contractors, as well as the IV&V and QA documentation. Follow up reports will be provided to the state until all plans are acceptable. Risks and Issues will be documented throughout the JAD sessions to ensure the state is aware of all project happenings. Our Team will work with the Unit Manager for to review contractor status weekly to ensure a 100% successful implementation and transition to operations.</p> |

4.6 Key Activity #6

Monitor all System Services and IME contractors' progress towards implementation goals and identify risks to the success, timeline, cost or performance of the project.

DELIVERABLES:

- Weekly written reports to the MMIS Project Director and the IME Unit Managers identifying each contractor's work plan status and the identified risks and corrective actions.
- An assessment of the impact of those risks and other known issues.

PERFORMANCE MEASURES:

- All risks will be identified timely resulting in mitigation strategies submitted to the Project Director within 2 business days of identification of those risks through resolution.

MONITORING:

- Throughout the DDI portions of the project the Project Director will monitor the progress towards implementation and report the progress at a minimum of monthly to the Executive Steering Committee.

4.6.1 Understanding

Team SES understands it is crucial that System Services and IME contractors make steady progress to meet implementation goals in accordance with established schedules and that any risks to meeting those goals are identified, analyzed, and mitigated in a timely manner. Project success depends upon a rigorous risk monitoring and mitigation program. Our team will identify risks as they relate to the success, project timelines, cost, and performance in a timely manner. Each risk identified will be reviewed on a consistent, periodic basis, and an assessment of impact and recommended mitigation and contingency actions will be delivered to the Project Director. Weekly reports will be distributed to the Project Director and IME Unit Managers identifying work plan status, risks, and corrective actions needed. The Project Manager will provide project progress on at least a monthly basis to the Executive Steering Committee.

4.6.2 Approach

Team SES has a thorough project monitoring and control process that includes a rigorous risk management program. These processes and associated forms and templates exist as part of our CMMI Maturity Level 3 Process Asset Library.

The Team SES will require each System Services and IME contractor Project Manager to input their project information and updates, including input of effort, progress, risks, and issues, into the SES Project Management Office Manager (PMOM) tool on a weekly basis. Project Managers will also be required to provide written bi-weekly detailed project status reports to the Team SES POMI. The detailed project status reports include the following sections:

Tab 4: Bidder’s Approach to Meeting Key Activities

- Planned vs. Actual Hours, Budget, and Schedule
- Major Activities and Milestones Completed This Period
- Scheduled Tasks Not Completed
- Scheduled Tasks Not Started on Time
- Actual and Anticipated Change Requests
- Project Labor Resource Adjustments/Changes
- Quality Assurance and Control Activities
- Project Meetings
- Project Information Management Activities
- Project Training Activities and Needs
- Performance Feedback From Client
- Planned Accomplishments for Next Reporting Period
- Cost and Schedule Estimate at Completion and Variances
- Scheduled Milestones Not Completed
- Scheduled Deliverables Not Completed
- Upcoming Deliverables
- Risks and Issues Analysis
- Non-Labor Resource Management
- Project Reviews Accomplished and Planned
- Stakeholder Involvement/Activities
- Use of Processes and Waivers/Deviations
- Coordination with Other Plans
- Subcontractor/Vendor Management Activities

Team SES will analyze all information gathered to identify problems, issues, and risks to cost, schedule, performance, and other factors that could affect project success. Weekly written reports will be provided to the MMIS Project Director and the IME Unit Managers identifying each contractor's work plan status, the identified risks, an assessment of those risks, and required mitigation and corrective actions. As risks are identified, and mitigation strategies taking the risk through resolution will be submitted to the Project Director within 2 business days. These mitigation strategies will be updated weekly until the risks are resolved to the point that they are acceptable.

Throughout the DDI portions of the project, the Project Director will monitor the progress towards implementation and report the progress at a minimum of monthly (more often as circumstances dictate) to the Executive Steering Committee.

4.6.2.1 Staffing

The table below lists the labor categories who are primarily responsible for this task as well as those listed as secondary:

| Primary | Secondary |
|--|---|
| Project Scheduler / Change Control Issues / Risk Manager | Project Manager Project Control Specialist |

4.6.3 Deliverables

| Deliverable | Description |
|-------------------------------|---|
| Weekly Written Reports | Submitted to the MMIS Project Director and the IME Unit Managers identifying each contractor's work plan status, the identified |

Tab 4: Bidder’s Approach to Meeting Key Activities

| | |
|------------------------------|---|
| | risks and issues, an assessment of risks and issues, mitigation strategies, and corrective action plans. |
| Mitigation Strategies | Submitted to the Project Director within 2 business days of identification of risks. |
| Monthly Status Report | Identify all issues, risks, corrective actions, and provide resolutions for each DDI phase to the Executive Steering Committee. |

4.6.4 Performance Assurance

| Performance Measure | Key Performance Indicators |
|---|--|
| All risks will be identified timely resulting in mitigation strategies submitted to the Project Director within 2 business days of identification of those risks through resolution. | Team SES will ensure that all risks identified will have a corresponding mitigation strategy that will be submitted to the Project Director within two days of identification. Resolution of these risks will be monitored by Team SES and reported to the Project Director via Weekly and Monthly Reports as well as Mitigation Strategy documentation. |

4.7 Key Activity #7

Report on overall readiness of each contractor for each phase of the project prior to the planned implementation of that phase.

DELIVERABLES:

- Written operational readiness reports to the Agency 90 days, 60 days, 30 days, 14 days, 7 days and 1 day prior to the actual "go live" date for each phase of the project.

PERFORMANCE MEASURES:

- Operational readiness evaluations will be submitted to the Agency’s Project Director on time and be acceptable to the Agency on the first submission resulting in a successful transition of operations by all contractors.

MONITORING:

- The Project Director will monitor these reports within two business days of submission.

4.7.1 Understanding

Team SES will report on all operational readiness for each contractor for each phase of the project prior to implementation. It is essential that the State have a thorough understanding of the readiness of each contractor approaching each phase of the project in order to manage risks and to ensure successful implementation will occur as scheduled without problems.

4.7.2 Approach

Team SES will conduct formal operational readiness reviews of each contractor as they approach the end of each phase prior to implementation of that phase. Team SES will conduct the readiness reviews using checklists looking at pre-defined readiness criteria and will provide the Agency reports of operational readiness at the 90 days, 60 days, 30 days, 14 days, and 1 day points prior to the actual “go-live” date for that phase of the project. Team SES will develop the readiness criteria for each checklist in concert with the Agency and each contractor. The criteria will be more and more stringent going from one review to the next as time to “go-live” approaches.

The readiness reports will provide a status of progress, schedule adherence, issues needing to be resolved, risks, and concerns regarding readiness to “go-live.” Action items and recommendations will be clearly identified and tracked to resolution from one review the next.

OPERATIONAL READINESS REVIEW

It is imperative that the SES Team conducts a detailed and diligent Operational Readiness Review that provides a comprehensive review of the key functional, technical, and support elements that contribute to a successful go-live and sustainable production system that is fully compliant with State and Federal regulations.

During the operational readiness review process, we will review the project status for the successful completion of:

- All implementation tasks and activities
- User acceptance testing

- Hardware and system software installation and initialization
- Update and accuracy of documentation (including Medicaid policies, business processes, etc.)
- Data cleansing and data conversion
- IME software enhancements

Additionally, our Operational Readiness Review will:

- Include a comprehensive review of outstanding problem status reports and logs
- Create the Operational Readiness Report and deliver this product for IME review
- Update and revise the appropriate suite of project deliverables during this stage of the project as a result of the status review and Operational Readiness Report approval process
- Conduct the Operational Readiness Formal Review with IME and its stakeholders

The SES POMI will conduct the Operational Readiness Review in collaboration with the IME Project Director and Unit Managers. Our Implementation Plan will identify the specific IME Business and Technical Leads with specific responsibilities during this review (data conversion, system restore, etc.). In any case, the Functional/Business Leads, Technical Leads, and Data Conversion Team will be heavily involved in this activity, at a minimum in a supporting role.

Our review will include, but is not limited to, the functional and technical configuration, Medicaid policies, business processes, programs, conversions, data cleansing, interfaces, reports, data migration, training completion, user acceptance testing completion, helpdesk readiness, support staff availability, escalation procedures established and in place, support levels established and monitored, system backups completed, and hardware operability and availability. It will include completed and verified work plan deliverables and milestones, assessment of the cutover staffing and work plan, open issues, and problem logs, culminating in an assessment of the readiness of the project for cutover to production.

OPERATIONAL READINESS REPORT

The SES Team will then create the Operational Readiness Report and present it to the IME Project Director for review.

Our operational planning and readiness review processes are an integrated part of our CMMI® Maturity Level 3 Capability Maturity "best practices." We assign an Implementation Lead to facilitate the execution of the tasks from our Implementation/Cutover Plan. The Implementation/Cutover Plan details the actions and tasks that must be taken to place the project deliverables into the production system.

The SES Implementation Plan includes an operational planning milestone as a checkpoint prior to the final commitment of placing the project into production, also known as the Go/No-Go decision. The tasks leading up to this Go/No-Go milestone and the series of validations and checkpoints to confirm that the necessary technical, functional, operational, and support

structures are in place, validated, and ready to support the production system are critical to the overall success of the IME project.

SUMMARY - OPERATIONAL PLANNING AND READINESS REVIEW PROCESSES ARE DESIGNED TO PROVIDE THE IME WITH A DOCUMENTED AND REPEATABLE PROCESS THAT OUTLINES THE PROJECT DELIVERABLES STATUS AND THE HIPAA/ICD-10 IMPLEMENTATION STATUS FOR THE Go/No-Go DECISION. THIS WILL PROVIDE THE IME WITH THE NECESSARY INFORMATION TO MAKE A SOUND BUSINESS DECISION ON WHETHER TO PLACE THE REMEDIATED MEDICAID SYSTEMS INTO PRODUCTION.

4.7.2.1 Staffing

The table below lists the labor categories who are primarily responsible for this task as well as those listed as secondary:

| Primary | Secondary |
|---|--|
| Project Scheduler / Change Control Technical / Administrative Specialist | Issues / Risk Manager ICD / HIT SME |

4.7.3 Deliverables

| Deliverable | Description |
|--|--|
| Written Operational Readiness Reports | Will provide the overall readiness of each contractor for each phase of the project prior to the planned implementation of that phase, to include progress/schedule, issues, risks, recommendations, action items, and concerns. |

4.7.4 Performance Assurance

| Performance Measure | Key Performance Indicators |
|--|---|
| Operational readiness evaluations will be submitted to the Agency’s Project Director. | Submitted for all contractors at 90 days, 60 days, 30 days, 14 days, 7 days, and 1 day prior to the actual "go live" date for each phase of the project. Will be acceptable to the Agency on the first submission. |

4.8 Key Activity #8

Prepare and present status updates periodically to CMS, the Agency and other stakeholders as requested by the Agency.

DELIVERABLES:

- Written status reports to the Project Director at least monthly.
- Written quarterly reports in a format defined by CMS and the Agency by the 10th of the month following the last day of the quarter.
- Ad hoc status updates, presentations and reports to Stakeholders at intervals as defined by the Executive Steering Committee or the Project Director.

PERFORMANCE MEASURES:

- All presentations and status updates to stakeholders will be professional, accurate, and give the intended audiences a clear, accurate picture of the project's status. The presentations will be submitted to the Agency’s Project Director on time as agreed to by the Contractor and the Agency.

MONITORING:

- The Project Director will review all monthly status reports and quarterly CMS reports. The Project Director will approve all presentations and ad hoc reports prior to presentation or release.

4.8.1 Understanding

Team SES will prepare CMS formatted reports and status updates to CMS, the agency, and other stakeholders as requested. Quarterly Monthly Status Reports will be provided to the Project Director, in addition to ad hoc information. All presentations and status updates will be clear, concise, and accurate for the appropriate audience. These updates will be submitted to the Project Director at the time specified in the contract.

4.8.2 Approach

The SES Team will implement an effective project communication program that demonstrates we fully understand the need and requirement to provide CMS, the Agency, and other stakeholders with accurate, timely, and detailed project status updates and information. To ensure appropriate information is provided, the SES Team has a number of built-in, proven procedures that satisfy this requirement at an “Industry Best Practices” reporting level.

| Reports / Presentations | Frequency |
|--|------------------------|
| <u>Project Plan</u> – The approved project plan will provide current details pertaining to the tasks, deliverables and milestones; additionally, the project plan will identify project assumptions, constraints, risks, solution methodology, WBS, staffing requirements, schedule, etc. The project plan will be updated as necessary. | Initial Updates |
| <u>Weekly Status Reports</u> – Each SES Team member will complete weekly status reports outlining their accomplishments for the week and concerns/issues and tasks scheduled for the upcoming week. The weekly status reports are identified as a deliverable and must be | Weekly |

Tab 4: Bidder's Approach to Meeting Key Activities

| | |
|--|-------------------|
| approved by IME Project Director. | |
| <u>Project Risk and Issues Databases</u> – Both project risk and issue database will be maintained throughout the life of the contract. The databases will provide various reporting capabilities (by IME Contractor, Status, Priority, etc.). As project risks and issues are identified and determined to be of significant impact to the overall project success, these risks and issues will be entered into the database and tracked through mitigation (risks) and corrective action/resolution (issues). The databases will be available to IME Project Director to access at any time. | Weekly Monthly |
| <u>Monthly Status Reports</u> – Using an IME approved format, a detailed monthly status report will be provided within five (5) days following the last end of the month. The monthly status report will address task completions, milestones status, deliverables, estimates to actuals (time and resources), cost and financial analysis, risk analysis, project change requests, etc. The monthly status report is identified as a deliverable and must receive IME Project Director approval. | Monthly |
| <u>Quality Assurance Report</u> – The SES Team's QA Manager will conduct periodic inspections, assessments and reviews (usually bi-monthly or monthly, depending on the activity); and will provide a quality assurance report to IME Project Director. The report will contain the overall status of the SES Team's adherence to processes and standards, and status of any open/active Corrective Action Reports. | Monthly |
| <u>Quarterly Executive Management Reports</u> – The Program Manager will prepare a Quarterly Executive Management Report to be presented at the Quarterly Program Management Reviews (PMRs) for the IME Project Director and Project Sponsors. The SES Team will use an approved format and submit the draft version to the IME Project Director NLT three (3) Business Days prior to the scheduled meetings. | Quarterly |
| <u>CMS Quarterly Report</u> – Upon completion of each Quarter, the SES Team will prepare and submit a draft CMS Quarterly Report to IME Project Director. The SES Team will use an approved report format that addresses the project success/accomplishments, concern areas, steps taken to correct and project slippage, budget/progress summary analysis and other information deemed necessary by IME. The CMS Quarterly report is identified as a deliverable and must receive IME Project Director's approval. | Quarterly |
| <u>Ad Hoc Reports & Presentations</u> – Upon request from the IME Project Director and other IME Stakeholders. The format and content will be documented and agreed to through a Deliverable Expectation Document (DED). | As Requested |

These are the primary steps built into the SES PM Methodology to ensure the State project director and stakeholders are kept informed on project status (progress, issues, performance

measures) at all times. This level of project communication has enabled the SES Team to be extremely successful in both State and Federal Government environments.

The SES Team’s Program/Project Reporting Strengths:

1. SES has experience providing IME informative and timely reports – the SES Team will provide acceptable reports that are supported by ongoing, daily dialogue with the IME Project Director.
2. The SES Team will provide QA reporting coupled with the Performance Measures Report – the IME Project Director will be provided assurance that the SES Team is adhering to documented processes and standards.

The SES Team is extremely well-positioned to monitor and deliver all of the reports and updates required for this task.

4.8.2.1 Staffing

The table below lists the labor categories who are primarily responsible for this task as well as those listed as secondary:

| Primary | Secondary |
|---|--|
| Project Manager Project Control Specialist | Technical / Administrative Specialist Administrative Assistant. |

4.8.3 Deliverables

| Deliverable | Description |
|-------------------------------|--|
| Monthly Status Report | Identify all issues, corrective actions, and provide resolutions for each DDI phase. |
| Corrective Action Plan | Identifies areas of risk, impact to project, mitigation strategy, and corrective action suggested for the state. |
| Ad-Hoc Reports | Submit ad hoc and presentations as requested by the State |

4.8.4 Performance Assurance

| Performance Measure | Key Performance Indicators |
|--|---|
| All presentations and status updates to stakeholders will be professional, accurate, and give the intended audiences a clear, accurate picture of the project's status. The presentations will be submitted to the Agency’s Project Director on time as agreed to by the Contractor and the Agency. | Team SES guarantees that all presentations, reports, and status updates will be provided to the state in a professional, clear, and accurate manner to convey the current project status. Documents and presentations will be tailored to fit the intended audience and will be submitted to the Project Director for approval on time according to the schedule. |

4.9 Key Activity #9

Manage the change order process with all contractors and the Agency as it relates to the DDI project so that a recommendation can be made to the Agency whether the change order or amendment is within the original scope of work. Prepare change order authorizations and descriptions as appropriate.

DELIVERABLES:

- For each change order present a report to the Agency's Project Director describing the request with the supporting documentation and a recommendation to the Agency to approve or deny.
- Produce a monthly summary report of all Agency approved change orders through the duration of each project.
- Draft all change orders and amendments.
- Track each change order through completion.

PERFORMANCE MEASURES:

- The result of this activity will be that the Agency will not be charged for any services that it was agreed would be purchased in the original scope of work or any amendments or previous, approved change orders. Change orders will be submitted to the Agency's Project Director 100% of the time before the change order is executed.

MONITORING:

- The Project Director will consult with the Agency's contract managers for the respective contracts to validate that the change order was not covered in a previous definition of the scope of work for that Contract and will validate that the change orders are timely.

4.9.1 Understanding

Team SES understands the importance of executing a change order management process for the Iowa POMI. Our team will manage the process with all contractors and the agency and provide recommendations based on contract scope. Authorizations and descriptions will be provided and reports given to the Project Director including the monthly summary report. Change orders will be drafted, tracked, and amended as approved through completion. All change orders will be processed in a timely and accurate manner.

4.9.2 Approach

The SES Team uses a Change Control and Management approach based on SEI CMMI® Maturity Level 3 and PMI Project Management Body of Knowledge (PMBok) Industry Best Practices for Enterprise Projects. Our Change Management Plan consists of sound, mature, and repeatable processes using the following steps as a basis:

- Scope will be set based on the mutually agreed outcome of the Planning activities.
- After the scope is set, the team will use a database driven template to document change requests that naturally occur within the project.
- The team will then assess these change requests, creating an impact assessment.
- Based on the assessment, the POMI/project team will present change requests to the Agency's Project Director for review and final approval.

- At all steps of this process, the scope control/change request database will be updated with new information and the appropriate status.

One of the key elements that vary is the level of project impact for which approval is required. Part of the POMI setup activities with IME will be to clearly document this process and its impact thresholds.

SES uses an integrated change control process to document, review, and approve changes to the authorized project scope, schedule, and cost.

A Project Change Request (PCR) is the vehicle that is used to document a requested change, as well as its review and approval process. SES automates the PCR process through a standard workflow in SharePoint.

Each PCR is in itself a plan for performing a particular work scope. It addresses the scope, schedule, staffing, cost, and risk for the requested change, as well as the change that would be imparted on the existing governing documents (e.g., Project Plan, Schedule, or Cost Estimate) by approval of the request. This methodology provides internal integration (all the CMMI® and PMBOK knowledge areas within the requested change are synchronized) and external integration (the affect the change would have on the baseline is specified).

The PCR is a document that is delivered to the Agency for review and approval, so it follows our quality process for written deliverables. The workflow, review, and approval responsibilities will be mutually agreed upon by SES and IME during start-up and automated within SharePoint. At a minimum, the internal SES POMI PCR review workflow will include the Project and Quality Management Office (PQMO), team leads, and Project Manager.

Once the PCR is approved by the Agency Project Director, it is posted to a folder in SharePoint so that the IME Project Team can review the change and its projected impact. The governing project documents (e.g., Project Plan, Schedule, Cost Estimate, etc.) are updated appropriately to reflect the authorized change, in accordance with the approaches described in the various sections of this Project Plan. If milestone dates change in the Project Schedule, for example, a new Version of the schedule is produced and the Release is reset to zero.

The SES POMI uses the PCR as one of its primary communication vehicles, as described in the Communication Plan section of this Project Plan. Each request is routed to all of the affected participants, providing an excellent way to communicate the requested change and its potential impact to all affected project management personnel.

The following table depicts the Change Order Management process at a high level. This process is designed to ensure the changes are recognized, recorded, and disposed in an orderly fashion and that all interested parties have appropriate involvement and visibility into the process along the way.



Because any change to a project can affect tasks, resources, deliverables, and quality and performance standards across the project, the SES Team proposes establishing a Project Change Control Board (PCB). Consisting of the Project Director, selected Unit Managers, and SES POMI, the PCB is responsible for final review and disposition of all Change Requests.

Again, the SES Team will use SharePoint to formally track and manage issues, change requests, and ultimately, scope. In addition to SharePoint, the POMI will set up the engagement policies, reports, and procedures to support project objectives effectively. The selected program and governance structure (PCB/Project Steering Committee) will be defined during the Strategy phase of our methodology.

The SES POMI and Agency Project Director would typically meet with the Project Steering Committee weekly or biweekly (or on another agreed-upon schedule) to provide overall program status, seek resolution for escalated issues, and present change requests for approval. Strong program management discipline supported by world-class tools has allowed SES to manage issues, change requests, and scope successfully on many large and critical projects.

SES’s change management methodology clearly establishes the framework for managing issues, change requests, and risks. Regardless of the size of the project, this is a critical activity. The detail and the frequency of updates may vary depending on size and complexity. Most monitor and update functions are typically weekly activities. The frequency of updates and reporting should be agreed on with the engagement leadership and the client during project planning, as previously stated.

To support a “best practice” approach to change management, a variety of reports can be used to reflect project status and trends. Specific project characteristics, including project risk levels and duration, are assessed to determine the specific reports required. For each report, the project should define such points as who produces it, how it is produced (that is, with which tools), who the recipient is, the frequency of production, and the reason for producing it.

Various reports will be combined to form a monthly summary report of all Agency-approved change orders throughout projects. Reports within this summary report, used to formally manage issues, change, and scope, include those listed in the table below.

| Report Category/Description | Questions to Be Addressed |
|--|--|
| <p>Status Reports convey key management data regarding actual progress compared to planned progress, including progress, variance, and exception reports. Project managers and team leaders generally supplement the reports with brief written commentary about the work in progress, planned work, and key vulnerabilities.</p> | <ul style="list-style-type: none"> • In what format should the Status Reports be produced (for example, as Microsoft Word document, via e-mail, or verbally)? • Who should produce the Status Reports? • If there are offsite personnel, who will coordinate the management of the offsite reports? • What is the current forecast completion date? • Did tasks complete this week as planned? Is the current trend likely to continue? • Based on current projections for hours and |

Tab 4: Bidder’s Approach to Meeting Key Activities

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|---|--|
| | <ul style="list-style-type: none"> tasks, is the project scope increasing? If tasks are behind schedule, are corrective actions being taken? |
| <p>Issue Resolution Reports provide status and trend data pertaining to issues identified during the project. Logs depicting the status of individual issues and summary reports highlighting total open and resolved issues should be included.</p> | <ul style="list-style-type: none"> Is the number of issues increasing or decreasing? Are issues being resolved within required timeframes? Is the number of issues planned to close the following week reasonable, given current trends? Are new risks and vulnerabilities surfacing? Are any risks or issues identified in the offsite facility? |
| <p>Change Control Reports provide a summary of change request activity, including relative priority, estimated hours of effort, and status of individual change requests. A summary report for all project change requests should be included.</p> | <ul style="list-style-type: none"> Is the number of new change requests increasing or decreasing? Do the types of changes requested indicate potential problem areas? Do priorities and estimates appear reasonable? What is the impact of approved changes on overall project scope? |
| <p>Risk Reports provide information about new risks, actions planned to manage risks already identified, and the effectiveness of risk management actions previously applied.</p> | <ul style="list-style-type: none"> Have new risks arisen? What contingency or preventive actions do we need to take? How well were previous actions performed? Are risks being reduced? |

Reports are assembled to produce a summary report that provides its recipient with appropriate information about the project. For example, a team leader may receive a set of reports about his detailed work plan. The Project Steering Committee does not generally require the same level of detail about individual project components. Instead, the committee should receive reports with summarized information about the project.

An effective Change Management report package:

- Contains reports from each report category.
- Presents meaningful and concise information appropriate for the level of the audience.
- Is distributed on a timely basis.
- Contains uniform formats at all reporting levels.

The SES Change Management Plan will reflect an “Industry Best Practice” approach to change management that will provide the Agency with the most efficient and effective approach to handling all project changes.

4.9.2.1 Staffing

The table below lists the labor categories that are primarily responsible for this task as well as those listed as secondary:

| Primary | Secondary |
|--|---|
| Project Scheduler / Change Control Project Control Specialist | Issues / Risk Manager MMIS / MITA SME ICD / HIT SME Administrative Assistant |

4.9.3 Deliverables

| Deliverable | Description |
|--|--|
| Project Change Request (PCR) Report / Change Order and Amendment Drafts | Describes change order requests, including supporting documentation and approve/deny recommendations. Acts as a vehicle to document requested changes and track review and approval process. |
| Monthly Summary Report | Includes all agency-approved change orders to date. Includes sub-reports (status report, issue resolution report, change control report, and risk report). |

4.9.4 Performance Assurance

| Performance Measure | Key Performance Indicators |
|---|---|
| The result of this activity will be that the Agency will not be charged for any services that it was agreed would be purchased in the original scope of work or any amendments or previous, approved change orders. Change orders will be submitted to the Agency’s Project Director 100% of the time before the change order is executed. | Team SES will ensure that the Change Order process is submitted and approved prior to execution. Our team will produce the Project Change Request (PCR) Report along with the Change Order and Amendment Drafts. All change orders will be submitted 100% of the time to the Project Director. The Monthly Summary Report will include all change orders in process and executed. |

4.10 Key Activity #10

Assist the Certification Manager with any federal requirements including the CMS system certification preparations. Oversee the activities of the MMIS contractor in their preparation for CMS system certification. Also participate in any on site visits with any CMS review process.

DELIVERABLES:

- The certification documents, materials and reports, including the CMS Certification Checklist, in the CMS required format for use during the certification process.
- A draft of the required communication to CMS requesting certification.
- Any other documentation required as part of certification.

PERFORMANCE MEASURES:

- The certification documents will be complete and accurate no later than sixty calendar days prior to the arrival of a CMS certification team.
- Document requirements and preparation for CMS certification will be 100% accurate and complete upon review by CMS.

MONITORING:

- The Agency's Project Director will monitor the progress of the development of this library and approve all content. Thirty calendar days prior to CMS certification date the Project Director will confirm all required materials are available.

4.10.1 Understanding

Team SES will provide assistance to the Certification Manager for federal requirements, certification preparation and oversee activities for CMS system certification. Our team will also participate in on site visits in support of the state for the CMS review process. Documentation will be provided according to the CMS Certification Checklist in the required format. All draft and other documentation required will be provided to aid in CMS certification in a completely accurate manner within the timeframe specified.

4.10.2 Approach

Team SES has worked with States in preparing the necessary documentation and required communication to request CMS certification of a newly implemented MMIS system. Additionally, our team has worked directly with States to coordinate meetings and deliver the required documentation during the CMS on-site review visit. We will use this experience and knowledge to assist IME to be fully prepared for the CMS certification activities after implementation.

Team SES will work with IME to start preparation for CMS certifications activities as early as the Requirements Validation process. Discussions should begin at that time to confirm how the requirements align with the most current CMS certification checklist and to determine what documentation will be necessary to prove compliance. During this time, Team SES recommends IME begin having discussion with their regional CMS office in Kansas City to confirm their preference for preferred format and delivery media for the certification documentation. Some regions prefer hard copy documents and other prefer electronic access. Learning early about the Kansas City regional office conducts the CMS certification process will

set the stage for IME to be fully prepared to meet and exceed their expectations during the visit.

Once CMS expectations are identified, then activities can be tailored throughout the system design, development, and implementation process to ensure the right documentation in the right media is produced at the right time to achieve certification. Team SES will rely on the CMS Certification Checklist as the governing document for all certification activities. Based on the checklist, Team SES will create the IME CMS documentation checklist to correspond to each of the CMS checklist business areas. Our checklist will identify the set of system requirements that align with the CMS certification requirement. The checklist will document the appropriate report, document, system screen, file or database or other media that has the appropriate information to satisfy the CMS certification requirement. It will identify the appropriate timeframe to gather the documentation and document the location in the repository where the documentation will be stored. This checklist will be the primary tool to ensure IME is ready for certification.

The documentation checklist will be tested during the user acceptance testing phase of the project. Team SES will coordinate “dry run” of the certification documentation gathering process to confirm the right documents can be produced.

Team SES will use guidance from the CMS Certification Toolkit and examples from other States to draft the communication to CMS requesting certification.

4.10.2.1 Staffing

The table below lists the labor categories that are primarily responsible for this task as well as those listed as secondary:

| Primary | Secondary |
|----------------------------------|-----------------|
| MMIS / MITA SME ICD / HIT SME | Project Manager |

4.10.3 Deliverables

| Deliverable | Description |
|---|---|
| CMS Certification Documentation | The set of documentation required to prove the newly implemented MMIS supports the administration of the Iowa Medicaid Enterprise based on the certification criterion. |
| CMS Certification Visit Request Letter | The written request from Iowa to CMS to schedule the on-site visit for CMS Certification. This letter also confirms the date the newly implemented MMIS is ready for certification. |

4.10.4 Performance Assurance

| Performance Measure | Key Performance Indicators |
|---------------------|----------------------------|
|---------------------|----------------------------|

Tab 4: Bidder’s Approach to Meeting Key Activities

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|---|---|
| <p>The certification documents will be complete and accurate no later than sixty calendar days prior to the arrival of a CMS certification team.</p> | <p>The schedule of activities to produce the CMS certification documentation will be submitted to IME for review and approval. This schedule will include a performance milestone date to confirm all documentation is produced no later than sixty (60) days prior to scheduled CMS visit.</p> |
| <p>Document requirements and preparation for CMS certification will be 100% accurate and complete upon review by CMS</p> | <p>The SES internal quality review process will establish a set of evaluation criteria to validate the CMS documentation gathering process yield results to meet 100% compliance expectation.</p> |
| <p>The certification documents will be complete and accurate no later than sixty calendar days prior to the arrival of a CMS certification team.</p> | <p>The schedule of activities to produce the CMS certification documentation will be submitted to IME for review and approval. This schedule will include a performance milestone date to confirm all documentation is produced no later than sixty (60) days prior to scheduled CMS visit.</p> |

4.11 Key Activity #11

Coordinate activities and identify impacts to any other healthcare initiatives (i.e. ICD-10, HIT/HIE, HBE, PPACA, IIEP) so no negative impacts occur. It is especially important to regularly coordinate activities and engage with the IIEP project as there are many commonalities and dependencies in the System Services and IIEP projects. Identify recommended solutions to known issues. Bring and configure dashboard software to assist in tracking these initiatives.

DELIVERABLES:

A written communication plan for coordinating information across projects.

A project dashboard that tracks all large projects related to healthcare within the Agency.

Prepare periodic reports as mutually agreed to by the Agency's Project Director and the Contractor.

Prepare assessment of impacts and risks of the MMIS on the other Agency defined major healthcare initiatives and recommended solutions to issues as they become known.

PERFORMANCE MEASURES:

Through the coordination of the implementations of both the IIEP and MMIS projects, the Contractor will inform 100% of the other healthcare initiatives of impacts to those initiatives so that smooth transitions to operations occur between these two projects and the other healthcare initiatives.

MONITORING:

The Agency's Project Director for the MMIS project will review the initial assessment and the subsequent meeting minutes and reports to determine accuracy of identified impacts and risks.

4.11.1 Understanding

Team SES will act as a coordinating entity and work with project personnel on the IIEP project. We understand that healthcare initiatives, system interdependencies, and commonalities will need to be carefully monitored, issues identified, and a recommended solution given. Team SES will utilize and configure our dashboard software to track initiatives and assist where needed. Our goal will be to ensure smooth transitions as new initiatives are introduced for both the MMIS and the IIEP projects. All reports and impacts will be provided to the Project Director for review of accuracy.

4.11.2 Approach

Team SES recognizes the vital role that effective communications plays in ensuring that information is shared between the major projects that impact IME operations. Therefore, we apply a powerful tool for developing effective communications processes through the use of the Project Management Body of Knowledge. The PMBOK describes a communications management approach that guides the processes required to ensure timely and appropriate collection, analysis, distribution, storage, retrieval, and ultimate disposition of project information. SES takes this knowledge and applies it with our methodology resulting in potent management tools. The key processes are as follows:

- Communications Planning – determines the information and communications needs of the various project stakeholders.

- Information Distribution – makes needed information available to users in a timely manner.

Like all project deliverables, subsequent review and revision of this plan will allow SES to ensure that its approach truly targets the communication needs of IME staff, the IME contractors, the IIEP Project Manager, IIEP contractors, and coordinators of other healthcare initiatives (i.e. ICD-10, HIT/HIE and PPACA). In short, there are a wide variety of stakeholders to communicate and coordinate with, and addressing their communication needs will increase the chances for project success. Effective communications is a key element of all successful projects. All project communications serve to assist with monitoring and controlling project execution resulting in activities completed on time, within budget, and within scope. Good communication has four characteristics:

- It features clearly defined processes
- It is easily documented, tracked, and reviewed
- It is highly visible and readily accessed, particularly by key decision makers
- It includes all interested stakeholders (internal and external)

Communications management begins with a communications planning process which is designed to accomplish the following goals:

- Identify the various IME stakeholders and their information needs
- Define the project's communication tools, so information needs are met for efficient and effective program operations
- Design the processes that will be used to meet the stakeholders' needs with the communication vehicles.

IDENTIFYING STAKEHOLDERS AND THEIR COMMUNICATION NEEDS

The successful outcome for coordination between the major projects affecting IME relies on effective communications among an extensive and varied population of stakeholders (a stakeholder is defined as an individual or organization that is actively involved in the project or whose interests may be affected by the Iowa MMIS Implementation Project). Because the communications requirements are stakeholder-driven, the planning process begins with identifying and categorizing all stakeholders into groups. Inputs to the stakeholder identification process can include project documentation, such as:

- The Project Manager for the Iowa Integrated Eligibility Project RFP (ACFS-12-253)
- ICD-10 Project Documentation,
- HIT/HIE Project Documentation, and
- PPACA Legislation.

From these various sources, Team SES develops a stakeholder list, and then expands that list by including the roles and responsibilities of each stakeholder. The stakeholder list is further expanded to include the types and frequency of information each stakeholder requires to perform its role and to meet its responsibilities. Team SES identifies and focuses on those communications that could have significant consequences on the success of the project, particularly in relation to the experiences and perceptions of the stakeholders, and works to ensure those needs are met.

Identifying stakeholders, their roles and responsibilities, and their communication needs requires extensive interaction and cooperation among Team SES and IME personnel and starts with the initiation of the project.

IDENTIFYING COMMUNICATION VEHICLES AND STAKEHOLDER INTERACTION

Team SES brings a number of communication vehicles that it has used successfully in the past. General communication vehicles include:

- The Project Status Report – Team SES uses a Project Status Report that is based on the PMBOK knowledge areas and integrated with all of the various management processes on the project. This single document gives a complete status of the project and the collection of the reports over time provides a complete project history.
- Healthcare Initiatives Dashboard – Team SES monitors the status of all major healthcare initiatives for IME using dashboard software. The project dashboard provides executive level reporting on project measures such as schedule, scope and cost.
- Risk Issues Log – Team SES produces a risk issues log specifically focused on the coordination between the various IME healthcare initiatives. This log documents the identified risks and recommendation mitigation strategies specifically related coordination and communication between the initiatives.
- Project Reports – Team SES will prepare informational reports on the various healthcare initiatives. Typical content of the report may include background of the healthcare initiatives, impacts to Agency operations, impact to MMIS development effort, risk and mitigation strategies.

MATCHING COMMUNICATION VEHICLES AND STAKEHOLDER NEEDS

Team SES compiles all the information regarding the stakeholders, the groups they belong to, and their information requirements into a Project Communication Matrix. The matrix identifies, at a minimum, the protocols for ensuring timely and appropriate generation, collection, dissemination, storage, and ultimate disposition of project information and it defines procedures for issue/problem escalation and resolution. The Project Communication Matrix also addresses formal meeting and status reporting protocols and defines how project activities are communicated to all applicable IME stakeholders.

The Project Communication Matrix describes how communication will be managed within the project. It identifies the following:

- Communication Activity – critical communications activities for the project (e.g., status reports, memos)
- Vehicle/Medium – the means by which the communication method is communicated
- Lead – the person or entity responsible for ensuring the communication is delivered
- Participants/Stakeholders – the individuals who participate in the communication
- Purpose – the project benefit produced by the communication

- Frequency – the frequency (e.g., one-time, weekly, monthly, etc.) on which the communication occurs

Team SES will work with the Agency Project Director to determine the appropriate methods, media and frequency of communication vehicles.

4.11.2.1 Staffing

The table below lists the labor categories that are primarily responsible for this task as well as those listed as secondary:

| Primary | Secondary |
|----------------------------------|--|
| MMIS / MITA SME ICD / HIT SME | Project Manager Project Scheduler / Change Control Technical / Administrative Specialist Administrative Assistant |

4.11.3 Deliverables

| Deliverable | Description |
|--|--|
| Communication Plan | The Communication Plan specifies what information needs to be communicated by whom and to whom, when to communicate, what media to use, and how the information is to be distributed. |
| Project Dashboard | The reporting tool that produces executive level reports that communicate the status of key performance criteria on selected projects. |
| Project Reports | The healthcare initiatives reports are information sharing vehicles that allow the Agency to learn more about the initiative and the impact on Agency operations and MMIS/POS development effort for decision-making and risk assessment activities. |
| Risk Assessment (IIEP Project and other Healthcare Initiatives) and Recommended Solutions | The identification and evaluation of the potential negative impact an activity, action or outcome that may have on project success. This deliverable includes recommendations on strategies to minimize the possibility of realization for each identified risk. |

4.11.4 Performance Assurance

| Performance Measure | Key Performance Indicators |
|---|---|
| <p>Through the coordination of the implementations of both the IIEP and MMIS projects, the Contractor will inform 100% of the other healthcare initiatives of impacts to those initiatives so that smooth transitions to operations occur between these two projects and the other healthcare initiatives.</p> | <p>Team SES will fully execute the Communication Plan for coordinating information across projects by producing approved communication vehicles (i.e. status reports, risk assessments, etc.) according to the timeframes defined in the plan to 100% of healthcare initiatives</p> |

4.12 Key Activity #12

Support the Agency's healthcare project coordination committee. Purpose of the committee is to identify impacts of the MMIS project to and from other major healthcare initiatives (i.e. IIEP, ICD-10, HIT/HIE, HBE, PPACA). See Attachment E for Governance.

DELIVERABLES:

- Attend all regular meetings.
- Prepare and distribute written meeting notes.
- Prepare and distribute agendas and meeting materials.

PERFORMANCE MEASURES:

- 100% of the time all notes, agendas, and meeting materials will be prepared accurately the first time.
- Meeting agendas and meeting materials will be distributed 2 business days prior to each regularly scheduled meeting.
- Meeting notes will be distributed 2 business days after the conclusion of the meeting.

MONITORING:

- The MMIS Project Director will regularly approve and review meeting minutes and agendas to measure the progress of the MMIS project with the other major healthcare initiatives.

4.12.1 Understanding

Team SES will support the healthcare project coordination committee and aid in the identification of impacts of the MMIS projects in regards to major healthcare initiatives. Our team will attend regular meetings, prepare and distribute written meeting notes as well as agendas and meeting materials. These items will be accurately prepared and distributed according to the timelines identified. Meeting minutes and agendas will be provided to the Project Director in order to measure progress of the projects and healthcare initiatives.

4.12.2 Approach

Team SES will schedule, facilitate, and document, in writing, all project meetings that are necessary to communicate effectively with stakeholders for major healthcare initiatives currently planned or active for IME, such as IIEP, ICD-10, HIT/HIE . These healthcare initiatives are complex projects that have a significant effect on the IME, so it stands to reason that IME would recognize the need for a healthcare project coordination committee to ensure the appropriate level of communication and coordination between the major endeavors occurs. The MMIS Implementation project just adds another layer of complexity to that effort. There will be a lot of moving parts, and the need for structured, planned communication between these parts is important. A schedule of planned meetings along with distributed meeting agendas will be important success factors to get the right individuals to the right meetings at the right time. Team SES's Communication Management Plan (CMP), described in detail in response to key activity #11, will define all planned meetings and determine the meeting frequency.

Effective communication vehicles, defined in the CMP, are crucial for successful exchange of information between stakeholders on a project. For this key activity, the two primary communication vehicles are:

- Meeting Agenda – Team SES will produce a meeting agenda for any coordination meeting between the healthcare initiatives. The meeting agenda documents the meeting purpose and objectives. It communicates the planned meeting topics for discussion. This vehicle promotes the attendance of the appropriate level of attendees and promotes participation readiness of attendees prior to the meeting start.
- Meeting Minutes – Team SES will produce meeting minutes at the end of each coordination meeting to document meeting activities and track any action items that require follow up.

An orderly and structured process for meeting management will provide the IME stakeholders with adequate notice to plan their schedules accordingly. Team SES will also prepare and distribute any supporting materials for meetings along with the agenda. The distribution of the meeting agenda within required timeframes will encourage the appropriate level of meeting attendance and promote participant readiness to actively engage in meeting discussion.

Team SES will document the meeting activities including the list of attendees, summarize meeting topics and discussion and document action items, in meeting minutes that will be distributed to meeting within required timeframes.

4.12.2.1 Staffing

The table below lists the labor categories that are primarily responsible for this task as well as those listed as secondary:

| Primary | Secondary |
|----------------------------------|---|
| MMIS / MITA SME ICD / HIT SME | Project Manager Project Scheduler / Change Control Technical / Administrative Assistant Administrative Assistant |

4.12.3 Deliverables

| Deliverable | Description |
|------------------------|---|
| Meeting Agenda | The meeting agenda documents the meeting purpose and objectives and communicates planned meeting topics for discussion. |
| Meeting Minutes | The meeting minutes documents meeting activities and track any action items that require follow up. |

4.12.4 Performance Assurance

| Performance Measure | Key Performance Indicators |
|---|--|
| 100% of the time all notes, agendas, and meeting materials will be prepared accurately the first time. | Team SES will prepare 100% notes, agenda and meeting materials accurately the first time by executing our standard quality review and control process for all project deliverables. |
| Meeting agendas and meeting materials will be distributed 2 business days prior to each regularly scheduled meeting. | Team SES will fully execute the Communication Plan for coordinating information across projects by distributing meeting agendas and meeting materials two (2) business days prior to each regularly scheduled meeting. |
| Meeting notes will be distributed 2 business days after the conclusion of the meeting. | Team SES will fully execute the Communication Plan for coordinating information across projects by distributing meeting notes two (2) business days after the conclusion of each meeting. |

4.13 Key Activity #13

For a period of six (6) months after implementation of each phase rollout monitor the activities of all contractors' operations to identify issues related to the transition, including any issues with the interoperability with the other Agency’s ancillary systems and the new IIEP and facilitate and track successful problem resolution.

DELIVERABLES:

- Regular (at least monthly), written status updates to the Agency's Project Director summarizing status, issues, resolutions and corrective actions.

PERFORMANCE MEASURES:

- 100% of issues identified during this six (6) month period will be resolved through corrective action plans or other expeditious means in order that the State may request CMS certification timely.

MONITORING:

- The Project Director will review all written reports within received monthly. The Project Director may speak with individual contractors to determine the accuracy of the reports.

4.13.1 Understanding

Team SES will monitor and provide feedback after the implementation of each phase. Activities and operations will be reviewed to identify issues related to the transition, interoperability, and new IIEP. These issues will be documented, tracked, and problems will be tracked through to successful resolution. Monthly status updates will be provided to the Project Director.

4.13.2 Approach

SES will utilize both automated and manual management control tools to monitor and provide feedback after the implementation of each phase. All activities and operations are reviewed to identify any issues, risks, or problems related to transition. All risks, issues, and problems, will be documented in our monthly project status report provided to the Project Director. Team SES will utilize the following approach to ensure the key stakeholders are aware of all project happenings:



AUTOMATED CONTROL TOOLS

SharePoint - Each project member will be required to maintain a project folder of the all project artifacts; this folder will be maintained on the SharePoint site. Project folders will be divided

into six major sections: Business Case – Project Analysis, Project Initiating, Project Planning, Project Launch, Project Execution (Monitoring and Control), and Project Closure. The major sections will be clearly identified. Each major section will be further divided into subsections. All information stored in SharePoint can be monitored, and reported in order for SES Management to see risks, trending information, and project performance. By using SharePoint as an automated tool, adhering to industry standards as well as contractual obligations is made markedly easier.

Microsoft Project Schedule – Team SES will develop a full and complete the enterprise project schedule for use as an automated control. This will ensure that the contractors are in compliance with their slated schedule, tasks, and timelines.

MANUAL CONTROL TOOLS

Our team has carefully developed validation and verification manual processes including process assessment, analysis, and evaluation. Additionally, our processes provide product review, inspection, and testing. Because our team routinely accomplishes oversight in parallel with the system development, we have designed these processes to adjust our inspectors’ focus (via checklists) with the intent of the phase and the purpose of the deliverables created for each phase.

The SES Team’s approach includes the use of “approved” structured checklists developed using industry best practices (CMMI, IEEE, and PMBOK). The checklists must be appropriate for each software/product development life cycle for the IME

projects. SES has developed a detailed set of checklists for each of the SDLC Process Areas shown in the graphic above. To capture relevant information and facilitate the completion of the checklists and the development of Review Reports, the SES Team has developed Prep and Analysis Worksheets (for meetings, interviews, products, and processes) to improve the assessment/inspection process. The SES Team will provide high quality, effective oversight checklists to ensure proper management of the contract.

| Team SES PMO Checklists |
|------------------------------|
| •Planning Oversight |
| •Project Management |
| •Quality Management |
| •Training |
| •Requirements Management |
| •Operating Environment |
| •Development Environment |
| •Software Development |
| •System / Acceptance Testing |
| •Data Management |
| •Operations Oversight |

Project Scorecards - Project scorecards will be prepared and updated monthly by SES. The project scorecard will be reviewed with the Project Director at the Project Review meetings, where significant items of interest will be discussed, and, should it be required, corrective courses of action developed. When complete, the Project Director and SES Team will meet to review the completed scorecard. After the Project Director and SES Team have discussed the project scorecard, a copy of the scorecard will be forwarded to the key stakeholders for executive review and validation. The updated project scorecard will be provided to the Project Director and Executive Management.

STATUS AND PROGRESS REPORTING METHODS

Examples Of Reports - In addition to monitoring the status of the tasks, the SES Team is prepared to report on the status of project tasks. Our project management experience with the State of Texas and State of Iowa Medicaid Agencies has helped us to understand how best to clearly report on project status. The SES Team will provide monthly Status Reports to the Project Director. Our reports detail the progress made, tasks scheduled for the next reporting period, and the overall prospects for successful completion of the remaining plan work. The reports address outstanding problems with their issues and resolutions. When appropriate, our reports outline the current financial status of the contract (linking work accomplished to the labor hours budgeted, expended, and projected).

For this engagement, the SES Team will produce reports mandated by the contract as well as additional ad-hoc reports for the State. Our team will report on the status and progress of project activities at a minimum through the following:

- Monthly Status Reports
- Risk Assessment Reports
- Deliverables-Based Assessment Reports
- Post Implementation Quality Review Report
- Incident Management Report
- Project Cost Estimation Analysis Report
- Process Improvement Recommendation Report

Correspondence and Issues Tracking

The SES Enterprise Portal is also used to manage and report the status of project issues and action items. The workflow process is automated in the Log, which automatically routes issues and action items according to a defined process. These processes, along with reports, facilitate issue / action item flow so that individuals are continually aware of the issues and action items resolution steps for which they are responsible.

For State Action Requests the SES Team monitors all requests that are routed from the Vendor to the State. If correspondence is requested of the SES Team by the State, the team addressed the issue and recommends the corrective action to the State in order to close the action request.

Approach to Taking Corrective Actions

By utilizing Automated and Manual Management Control Tools (mentioned in the Management Control Tools section above) the SES Team is able to report, track, and take appropriate corrective actions by collaborating with the SES Project Management Office (PMO) and Quality Management Office (QMO) to ensure that all issues, risks, and problems are resolved.

Internal Quality Control Monitoring Procedures

The SES Team methodology uses a technical discipline proven to ensure high-performance systems engineering. We have designed each of our processes to ensure the State builds quality into the applications during all aspects of the product life cycle. Our processes determine if the deliverables conform to the requirements of each activity, and – most importantly – if the intermediate (and final) products satisfy the intended user need.

Project Deliverable and Activity Status Review Meetings

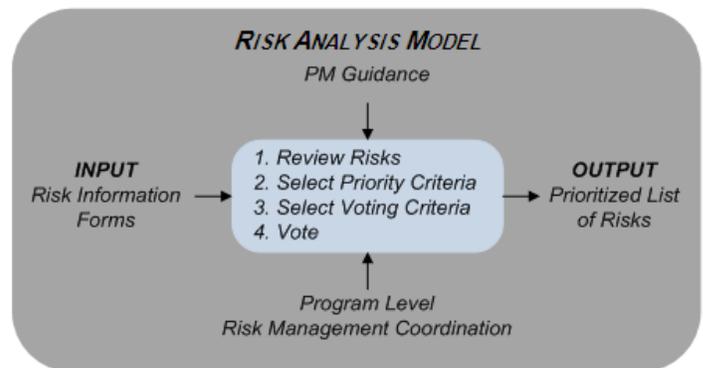
Project Deliverable / Activity Review meetings will be held once a month for those activities requiring full oversight, and bi-monthly (every other month) for those activities requiring limited oversight. A project deliverable review schedule will be published to the SharePoint portal as well as activity status reports. Project review meetings will be one hour in duration. The following items will be reviewed during the meeting:

- Detailed Status Report
- Risks Register
- Issues Register
- Project Scorecard
- Deliverable Status Report
- Team Status Report
- Team Scorecard
- Action Items Review

RISK MANAGEMENT

Risks are ranked in accordance to the ability to manage their relative controllability. We identify the alternatives available in delivery and processes to ensure that uncertainties and risks are adequately considered in a structured and systematic way, which allows them to be incorporated into the planning and project development.

Each risk identified will be analyzed in terms of its consequences on cost, schedule, performance, and product quality. Risks are assigned a unique identifier, priority, probability, rating, and an impact rating. Any identified risk has a likelihood of occurrence with specific impacts. The figure above depicts the process used to prioritize the risk.



Steps to Quantify Risks

- Select the risk events to be examined from the following categories: cost, schedule, performance, product quality.
- Review the risk resolution plan for each risk to insure proper mitigation steps have been well documented and that they are appropriate.
- Assess the probability associated with the risk event (for example: What is the probability that we shall get approval for next month? What is the probability that we shall not get approval for next month?).
- Apply probability formulas per levels of complexity.

Risk Metrics

The SES Project Management Team will report metrics on the risks. The SES Enterprise Portal offers the ability to produce various queries that may include reporting results on the following:

Tab 4: Bidder’s Approach to Meeting Key Activities

- Number of risks opened (by rating)
- Number of risks closed (by rating)
- Number of risks closed (by due date)
- Number of risks by age category
- Number of risks overdue
- Number of risks open (by owner)
- Number of total risks by risk rating
- Numbers of risks by risk factor
- Problem Identification, Tracking, and Resolution

Execute Resolution

Executing resolution is performing the tasks required to mitigate the risk. In this step, the risk owner updates the Risk Log with all relevant information about the risk, including whether or not the risk resolution plan has in fact resolved the risk.

4.13.2.1 Staffing

The table below lists the labor categories that are primarily responsible for this task as well as those listed as secondary:

| Primary | Secondary |
|---|----------------------------------|
| Project Manager Project Control Specialist Technical / Administrative Assistant | MMIS / MITA SME ICD / HIT SME |

4.13.3 Deliverables

| Deliverable | Description |
|-------------------------------|--|
| Monthly Status Report | Identify all issues, corrective actions, and provide resolutions for each DDI phase. |
| Corrective Action Plan | Identifies areas of risk, impact to project, mitigation strategy, and corrective action suggested for the state. |

4.13.4 Performance Assurance

| Performance Measure | Key Performance Indicators |
|---|---|
| 100% of issues identified during this six (6) month period will be resolved through corrective action plans or other expeditious means in order that the State may request CMS certification timely. | Utilizing the Corrective Action Plan and the Monthly Status Reports, Team SES will ensure that 100% of issues identified during the six month post implementation period are resolved. Team SES will ensure that through our oversight and involvement, the state will be able to request CMS certification in a timely manner. |

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5.0 Tab 5: Bidder's Background

5.1 Experience

5.1.1 Level of Technical Experience

Software Engineering Services has a high level of experience providing the various services sought by the state of Iowa for this project. Our past experience proves that we can provide precisely those services outlined in the key activities.

In supporting Texas HHSC with its HIPAA implementation, SES develops project plans, and operates the Project Management Office (PMO), providing continuous support to the PM in weekly status meetings, reviews of deliverables, and participation in Executive Steering Committee meetings. SES is also responsible for communication and reporting, documenting project performance, and workflow management. SES also supports Texas Medicaid with their Change Order (COR) process improvement project, and assisted the state in becoming compliant with HIPAA mandates for NPI and MITA.

For Florida's Child Support Enhancement Automated Management System (CAMS), SES oversaw State PMO and QA contractors, and used CMMI processes, IEEE standards, and PMBOK checklists to ensure project success. SES held monthly and quarterly meetings, attended JAD sessions, and reported findings in quarterly assessments.

For the State of Alabama Medicaid Agency, SES created a Project Management Office for oversight of all Agency IT enhancements and data conversions, as well as conducted MITA analysis and implementation and CMS MMIS Certification.

SES is confident we can go above and beyond the tasks required for this contract, bringing both our extensive experience and knowledge of best practices to this effort on day one.

5.1.2 Similar Services (last 24 months)

State of Texas, Health and Human Services Commission

| | |
|---|--|
| Project Title | Texas MMIS IV&V |
| Project Role (Primary Contractor or Subcontractor) | Prime Contractor |
| Name of Client Agency or Business | State of Texas, Health and Human Services Commission |
| Start and End Dates of Service | 1/2006 – Present |
| Contract Value | \$3.4 Million |

Description of Scope of Work

In supporting Texas HHSC with its HIPAA implementation, SES develops project plans, and operates the Project Management Office (PMO), providing continuous support to the PM in weekly status meetings, reviews of deliverables, and participation in Executive Steering Committee meetings. SES is also responsible for communication and reporting, documenting project performance, and workflow management.

The assigned projects for the TX Medicaid IV&V team for the Independent Verification and Validation (IV&V) were a result of federal mandates, which include the National Provider Identifier (NPI) project and the Medicaid Integrated Technology Architecture (MITA) Phase 1 - SS-A project. SES IV&V is currently supporting the State of Texas Medicaid on other projects such as the Change Order (COR) Process Improvement, the Texas Encounters Data Warehouse (TED) project architecture analysis, and the Statistical Management Reporting System aka STAT Enhancement Data Warehouse development.

Tasks completed by SES as part of this contract included the following:

Perform complex evaluations and technical reviews for assigned projects which range in size from \$5M - \$45M

Conduct IV&V services in accordance with IEEE

Review Contractor's activities for compliance with CMMI Level 2 & 3 processes

Monitor the completeness of functionality as specified in business and system requirements, including compliance with underlying state and federal laws and regulations, test results, data integrity

Monitor and report on the MMIS and PCCM Administrator performance, specifically related to quality, risk management, and issue resolution and provide metrics accordingly

Provide HHSC with the needed evidence that the MMIS and PCCM systems processing perform to specifications as expected

Assist state to become compliant with HIPAA mandates for NPI and MITA

Collaborate with Contracts Management with the review and improvement of the Change Order Request (COR) process

Evaluate the Compass21 Claims Engine and related ancillary systems

Assess the validity of the TED Data Warehouse architecture and suggest potential architectural enhancements

This HIPAA Implementation support contract has several activities as discussed below:

1. IV&V Project Plan and Schedule Development, Assistance and Monitoring. The Texas

Medicaid IV&V Project Manager developed the IV&V project plans and schedules in conjunction with each of the assigned project initiative. SES provides tools and expertise needed to support and maintain, and coordinate multiple project plans, using Microsoft Project, within HHSC and works closely with the Texas Medicaid Health Partnership (TMHP) as necessary.

2. SES Project Management Office (PMO). SES provides continuous support to the project manager, as directed by the Project Office, in weekly status meetings, review of all deliverable documentation, and provides onsite monthly attendance to the Executive Steering Committee meeting.

3. Testing Management & Oversight. SES is responsible for the review and approval of numerous test products delivered by the Developer in support of major MMIS enhancements.

4. Communications. SES communicates the IV&V project as documented in the IV&V Project Plan, the status reporting and other communications such as meetings and informal communications with HHSC and TMHP. The IV&V project team documents the project performance against the plan and reports weekly via formal and informal channels. In addition to normal channels of communication, SES provides a document repository and a workflow management tool to track, trend and address issues, changes, and defects within the project. SES communication process ensures accurate and consistent messages are conveyed at the right time, by the right sender, to the right audience, via the right channel.

5. Training and Education. As a value-added benefit to the State of Texas, SES has provided several training courses to cover such topics as Introduction to Capability Maturity Model Integrated (CMMI), CMMI for Acquirers, and IV&V Overview training to enlighten the state of Texas of the professional and technical attributes SES brings to HHSC.

| | |
|--|---|
| <p>Were services provided timely and within budget?</p> | <p>This project is and has been on-time and on-budget. The State has chosen to exercise all renewals in the contract, continuing to keep the SES IV&V team on site.</p> |
| <p>Client Project Manager Contact Information</p> | <p>Joseph Graves 11209 Metric Blvd., Bldg. H Austin, TX 78758 512-249-3740 Joseph.Graves@hhsc.state.tx.us</p> |

State of Florida, Department of Revenue

| | |
|---|---|
| Project Title | Florida Child Support Enhancement Automated Management System (CAMS) IV&V |
| Project Role (Primary Contractor or Subcontractor) | Prime Contractor |
| Name of Client Agency or Business | State of Florida Department of Revenue |
| Start and End Dates of Service | 4/2008 – Present |
| Contract Value | \$3,481,939.00 |
| Description of Scope of Work | |
| <p>SES oversaw State PMO and QA contractors, and used CMMI processes, IEEE standards, and PMBOK checklists to ensure project success. SES held monthly and quarterly meetings, attended JAD sessions, and reported findings in quarterly assessments.</p> <p>SES was selected over the incumbent as the IV&V vendor for the State of Florida's CAMS Phase II (Child Support Recovery) project. The SES IV&V Team's scope of work is to provide oversight, monitor, and review all project deliverables for a "state-of-the-art" SAP & Oracle based Child Support Enforcement system (targeted as the most leading edge CSE system in the industry). SES has been highlighted by Child Support Federal Government as only one of five companies in the US to understand and be in compliance with Federal IV&V standards.</p> <p>The SES Team provides advanced software and hardware oversight, management, and transition support as the IV&V contractor overseeing State PMO and QA Contractors. SES uses a variety of industry standard methods to ensure project success including CMMI processes, IEEE standards, and PMBOK integrated checklists. The SES Team has created a rolling 6-month Project Management Plan (PMP) that includes a work plan with all tasks, deliverables, staff resources, durations and anticipated start and end dates for project tasks for the Florida Department of Revenue.</p> <p>The SES Team maintains a Task Accomplishment Plan (TAP) that is delivered quarterly and is both retrospective in documenting accomplishments for the last three months, and prospective in describing anticipated, planned efforts for the project for the next three months. Both the Business Plan and TAP ensure that the Team is managing the schedule appropriately for the project. During assessment, all metrics are gathered, findings are documented, and presented in Monthly and Quarterly Assessment Reports. The SES Team manages risk through the Project Risk Management Plan.</p> <p>The SES IV&V Team monitors and reviews processes, products, and documentation for the project through the entire SDLC via a Systems Requirements Traceability Plan. Testing is also performed by the SES IV&V team to determine the adequate level of system performance, and ensure that hardware is maintainable, consistent, easily upgradable, and compatible with current systems. Our team attends JAD sessions, system meetings, conducts project interviews and observes Project Management Staff including all subcontractors in order to assess project adherence to the plan and state objectives.</p> | |
| Were services provided timely and within budget? | All project requirements and timelines, and budget limitations have been satisfied. SES was awarded a one year follow-on contract due to the excellent work of our staff. |

| | |
|---|--|
| Client Project Manager Contact Information | Jennifer Huff Florida Department of Revenue Child Support Enforcement Program, Room 2-4600 2450 Shumard Oak Blvd., Tallahassee, FL 32399 850-617-8049 HuffJ@dor.state.fl.us |
|---|--|

Alabama Medicaid Agency

| | |
|---|--|
| Project Title | Medicaid System and Eligibility System Support |
| Project Role (Primary Contractor or Subcontractor) | Prime |
| Name of Client Agency or Business | Alabama Medicaid Agency |
| Start and End Dates of Service | 5/2005 – Present |
| Contract Value | \$8.2 million |

Description of Scope of Work

SES establish a PMO and QA office to lead and manage the enterprise HIPAA remediation of all internal systems (analysis, remediation, testing). SES performed IV&V for the Agency's claim processing systems. SES conducted re-engineering and legacy replacement of the Medicaid Eligibility system and performed External Quality Review of the Agency's Managed Healthcare Programs with statistical analysis and reporting to CMS.

SES assessed and examined the Alabama Medicaid Managed Care program's compliance in the areas of Access to Care and Quality of Service in the four core competencies identified in the Alabama 1915(b) waiver for two Agency programs: 1) Managed Care and 2) Patient First. The four core competencies were: 1) Administration, 2) Enrollee Access & Receipt of Program Services, 3) Provider Network, and 4) Enrollee Information.

SES provided IT web development, DB2 re-engineering and system maintenance support for their critical Medicaid Eligibility and payroll systems. SES developed a .NET/SQL payroll management system to replace the existing legacy (COBOL/AS400) system. SES used the Rational Tool Suite and combined with Microsoft .NET Studio Suite framework and tools (supporting requirements management, development, testing and CM). SES conducted gap analysis and support the HIPAA remediation for the Alabama Medicaid Management Information System (MMIS) – key tasks:

- Created PMO for oversight of all the Agency's IT enhancements and data conversions; provided PM training for Agency's PM
- Developed a CMMI based SDLC (assisted Agency with development of Functional and Technical Specs templates); implemented RUP; performed risk assessments and maintained process improvements activities
- Performed QA on all the Agency's IT HIPAA renovations and data conversions
- Conducted IV&V all the Fiscal Agent's HPAA remediation efforts; reviewed all design specs and test deliverables
- Provided IV&V of all data mapping; assisted the Fiscal Agent with structured testing concepts
- Conducted re-engineering study of the legacy Eligibility System and provided recommendations for system replacement

SES is responsible for providing the Agency MMIS oversight and technical assistance with the implementation, testing, and acceptance of the recently implemented New MMIS.

SES also provided Medicaid Information Technology Architecture (MITA) analysis and implementation, CMS MMIS Certification, ICD-10, and HIPAA5010 services.

We provided IV&V for the transfer, implementation, and certification of the Alabama Medicaid

| | |
|---|---|
| <p>Management Information System (MMIS), full SDLC IV&V activities, used IEEE and CMMI based standards and checklists, provided active monitoring and witness of system and performance testing. SES conducted QC inspections, audits and system assessments, and reviewed all data conversions activities and results.</p> <p>SES implemented a structured PMO to provide PM standards, processes, guidance and training to establish project score-cards; SES implemented PM forums to ensure Agency staff were properly train for structured, PMI and CMMI based PM.</p> <p>SES led the Medicaid Agency with a highly successful HIPAA remediation of all internal eligibility and recipient systems; additionally SES identified \$2.5M savings with alternative solutions/approach for the Fiscal Agent HIPAA activities.</p> <p>The SES PMO resulted in all Agency projects under full control and started the Agency down current CMMI Level 2 implementation.</p> | |
| <p>Were services provided timely and within budget?</p> | <p>Through the entire contract, our IV&V team maintained their integrity and the respect of the senior managers on the Alabama team, the Fiscal Agent Contractor team and the SES Team. By utilizing an integrated CMMI, IEEE, and PMBOK approach, we completed our tasks on time and within our budget. Open communications, unbiased reviews, careful analysis, and a willingness to go the extra mile to help the Fiscal Agent Contractor team make progress lead to an extremely strong and healthy relationship.</p> |
| <p>Client Project Manager Contact Information</p> | <p>Lee Maddox 501 Dexter Avenue Montgomery, AL 334-242-5602 Lee.Maddox@medicaid.alabama.gov</p> |

State of South Dakota, Department of Social Services

| | |
|--|---|
| Project Title | State of South Dakota Project Management (PM) and Independent Verification and Validation (IV&V) Consultant for MMIS Implementation |
| Project Role (Primary Contractor or Subcontractor) | Primary Contractor |
| Name of Client Agency or Business | State of South Dakota, Department of Social Services |
| Start and End Dates of Service | March 2008 – March 2011 |
| Contract Value | \$2,716,880 |
| <p>Description of Scope of Work</p> <p>4TG provided procurement consulting to acquire and implement a new MMIS. Under this first contract with the State, 4TG produced the first Advance Planning Document (APD) and Request for Proposal (RFP) that was driven from the beginning to be MITA-aligned. A successful, competitive procurement was conducted and a contract was awarded to implement the new system. Subsequently, 4TG won two separate contracts to assist the State through implementation: the Project Management (PM) and the Independent Verification and Validation (IV&V) and Quality Assurance (QA). 4TG has participated in this project since its inception, performing the following services:</p> <ul style="list-style-type: none"> • Deliverables review and assessment • Project Planning and Oversight • Quality Assurance • Project Status Reporting • Risk Assessments • System Design/Development Oversight • User Acceptance Testing (UAT) Oversight • MITA Assessment • Implementation Readiness Assessment • Certification Readiness Assessment | |
| Were services provided timely and within budget? | Yes |
| Client Project Manager Contact Information | Bonnie Bjork, Deputy Project Director 605.773.8500 Bonnie.bjork@state.sd.us |

Idaho Department of Health and Welfare

| | |
|--|---|
| Project Title | Molina Medicaid Solutions (MMS) Idaho MMIS Project Management Support |
| Project Role (Primary Contractor or Subcontractor) | Subcontractor |
| Name of Client Agency or Business | Idaho Department of Health and Welfare |
| Start and End Dates of Service | August 2011 – October 2011 |
| Contract Value | \$250,000 |
| <p>Description of Scope of Work</p> <p>Manage the organization of assigned escalated issues related to the Idaho MMIS to include the following topical categories:</p> <ul style="list-style-type: none"> • Provider Configuration • Member Management • Prior Authorization Configuration and Software Changes • QNXT Configuration Items • Provider Services (i.e., Remittance Advice, call wait times and provider communications) • Establish Project Plans (including the identification of activities and resource needs) and perform the related project management tasks to organize the tasks and facilitate their completion. • Develop metrics and other mechanisms to track the status of tasks and assist in reporting progress of the tasks. • Attending State executive management meetings, facilitating status meetings with site staff personnel and facilitating meetings between State staff and MMS personnel. | |
| Were services provided timely and within budget? | Yes |
| Client Project Manager Contact Information | Ann Koontz Molina Healthcare, Inc. 1 Golden Shores Long Beach, CA 90802 562-435-3666 Ann.Koontz@Molinahealthcare.com |

Texas Health and Human Services Commission (HHSC)

| | |
|---|--|
| Project Title | International Classification of Diseases (ICD-10) Documentation Services Project |
| Project Role (Primary Contractor or Subcontractor) | Primary Contractor |
| Name of Client Agency or Business | Texas Health and Human Services Commission (HHSC) |
| Start and End Dates of Service | December 2010 - ongoing |
| Contract Value | \$800,000 plus amendments |

Description of Scope of Work

The Texas Health and Human Services Commission (5 Texas State agencies – Health and Human Services Commission; Department of Aged and Disability Services, Department of State Health Services; Department of Assistive and Rehabilitative Services and Department of Family Protective Services) desired to develop an integrated plan of action to transition from the use of the ICD-9 code set to the federally mandated use of the ICD-10 code set implemented on October 1, 2013. The Health and Human Services Commission also known as the HHS Enterprise, selected FourThought Group, Inc. as the vendor to complete a business impact assessment and implementation plan that will provide a roadmap for Texas to comply with the legislation mandating all States to implement ICD-10 by October 2013. To meet the HHSC's needs the project was divided into five (5) deliverables:

- Business Impact Analysis
 - Identify the set of "As Is" business processes that currently use the ICD-9 code sets
 - Document the set of impacted business processes in business process flow diagrams (MSVisio)
 - Document the impacted stakeholders for each of the impacted business processes
 - Develop a mapping between the set of impacted business process and those impacted stakeholders in each process
 - Identify the current use of DSM-IV code in business processes and evaluate impact of transitioning to the use of ICD-10 code sets
 - Analyze the cost implications of transitioning to the use of ICD-10 code sets using a relative order of magnitude scale
- Technical Impact Analysis
 - Identify the systems that currently store, process, transform and/or transmit ICD-9 code sets
 - Document the interactions between impacted stakeholders and impacted systems (MSVisio)
 - Document the set of pending projects impacted by the transition to the use of ICD-10 code sets
 - Document the inventory of impacted systems and identify high-level impacts.
- Implementation Plan
 - Analyze dependencies between impacted systems, impacted business processes

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| <p>and impacted pending projects.</p> <ul style="list-style-type: none"> ○ Identify potential policy impacts (both program and medical policy) and develop recommendations on analysis activities that transform policy to optimize benefits of ICD-10 ○ Develop a set of strategic recommendations for implementation of the identified activities by conducting visioning interviews and facilitating strategic planning sessions. ○ Document the groups of tasks and activities with dependencies needed to implement the ICD-10 code sets within each agency and between agencies ○ Develop recommendations on priority for implementation activities based on HHS strategic direction to address near-term and long-term goals. ○ Create a Work Breakdown Structure of project tasks and activities ○ Develop recommended project-level schedule, including a Gantt Chart detailing project milestones and recommended schedule of activities ○ Develop a full project plan addressing each of the nine (9) knowledge areas of the Project Body of Knowledge methodology, including identification of potential risk and development of a Risk Management Plan. <ul style="list-style-type: none"> ● Training <ul style="list-style-type: none"> ○ Develop a training curriculum and syllabus of course materials for two (2) orientation-based training courses, which establish a foundation of knowledge of difference between ICD-9 and ICD-10 codes. ○ Develop course materials for both courses ○ Manage training coordination activities, including class scheduling, registrations and confirmation process. ○ Deliver training with evaluation process ● Project Close-out <ul style="list-style-type: none"> ○ Develop a project close-out report summarizing project activities and lessons learned | |
| Were services provided timely and within budget? | Yes |
| Client Project Manager Contact Information | <p>Don Rau, HHSC ICD-10 Project Manager 11209 Metric Blvd, Mail Code H-350 Austin, TX 78758 512.491.1384 Don.rau@hhsc.state.tx.us</p> |

5.1.3 All Current Contracts and Projects

| Project Name (SES) | Project Description |
|---|--|
| Air Force Weather Agency - SEMS | SES provides Software Development and Systems Engineering for AFWA. |
| Fort Bragg – IT Support Services | This contract involves project and program management for Fort Bragg, including technology planning and telecommunications management and support. |
| Fort Hood NEC IT Support Services | SES supports Fort Hood NEC with project and program management, as well as technology planning and telecommunications management and support. |
| IRS – CMMI Consulting | This contract encompasses CMMI process and implementation consulting services. |
| Nashville – HIPPA Security Services | For the city of Nashville, SES provides HIPPA compliance and consulting services. |
| Ohio SARTA | SES provides design services, automates workflows, and provides implementation, training, and maintenance services. |
| US Stratcom SEWS | This contract includes advising and assistance to US Stratcom. |
| USAMS II – Missile Warning Functional Manager Support | SES supports the Missile Warning Functional Manager with advising and consultant services. |
| Department of Veterans Affairs – Central Iowa Business Intelligence Project | For this contract, SES identifies requirements, develops project plans, implements an Enterprise Operations Management System, and establishes oversight processes for a business intelligence product that manages workflow task/process results, collects/extracts/imports clinical data, aggregates/correlates data into standard reporting, and provides near real-time information for use by staff and management. |
| State of Minnesota Consulting Services | SES provides the State of Minnesota with business analysis, consulting, and web development services. |
| Iowa Workforce Development | This contract involves Information Technology applications development. |

| Project Name (4TG) | Project Description |
|---|---|
| Texas HHSC International Classification of Diseases (ICD-10) Documentation Services Project | Description provided above |
| Alabama Medicaid Agency HIE Management Resources | <p>4TG provides management assistance for the Health Information Technology office in carrying out the provisions of the Office of National Coordinator State HIE Cooperative Agreement Program to include Health Information Exchange (HIE) Operations Project Manager and Meaningful Use Program Manager. The following activities represent some of the activities performed in fulfilling these roles:</p> <ul style="list-style-type: none"> Designing and implementing a program based on the federal regulations surrounding meaningful use including, but not limited to Reporting and tracking requirements Training providers on the meaningful use incentive plan Planning, scheduling and tracking project timelines and milestones Overseeing the technical implementation by contractor, including project tracking system testing, and provider training Planning, scheduling, and coordinating contract project status meetings to include meeting minutes |
| Molina Medicaid Solutions | 4TG provides Legislative Analysis, Business Development Support, Marketing Analysis, Project Management Office development and support |
| Connecticut Health Insurance Exchange (HIX) Technical Assessment | Working as a part of the Mercer and Health Management Associates (HMA) Team, responsible for performing a technical assessment of existing information technology assets to determine if they could be used as a part of the Connecticut Health Insurance Exchange (HIX). 4TG used CMS guidance documents to structure our review and looked at the existing Connecticut Medicaid and Eligibility infrastructure against the following categories that are designated by CMS in the |

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| | <p>published HIX guidance documents:</p> <ul style="list-style-type: none"> Functionality Interoperability and Integrability Security Capacity and Availability Accessibility Conformance with CMS Seven Standards and Conditions for Health Information Technology <p>This portion of the Exchange planning project, known as "Task 9" required that 4TG as a part of the HMA team:</p> <ul style="list-style-type: none"> Identify key IT requirements for enabling the eligibility and enrollment business processes of health insurance exchange(s) in the state, including interfaces to relevant programs such as Medicaid and CHIP. Assess Connecticut's existing IT capabilities and associated gaps as it relates to: <ul style="list-style-type: none"> Health insurance exchange eligibility and enrollment management, and Interfaces to relevant "in-scope" systems as it relates to this business process area, i.e. EMS, MMIS and (if applicable) the CHIP eligibility system. <p>The results of the review are currently being published as a part of a larger report encompassing multiple HIX topics for presentation to the State and will be used as input into future HIX planning and procurements.</p> |
| <p>State of Texas Independent Verification and Validation (IV&V) Consultant for MMIS Implementation</p> | <p>4TG serves as a contributing member of the SES Independent Verification and Validation (IV&V) team, commonly known as the TX Medicaid IV&V project stakeholder. We perform as the State's "Trusted Agent" in a collaborative relationship with the Health and Human Services Commission (HHSC) and interface with the Texas Medicaid Health Partnership (TMHP) staff throughout the review process.</p> <p>The assigned projects for the TX Medicaid IV&V team for the Independent Verification and Validation (IV&V) were a result of several federal mandates, that included the National</p> |

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| | <p>Provider Identifier (NPI) project and the Medicaid Information Technology Architecture (MITA) SS-A project. SES IV&V are also currently supporting the HHSC on other projects such as the Change Order Request (COR) Process Improvement and the STAT Enhancement Data Warehouse development. The goal of the TX Medicaid IV&V is to identify whether system design and the software products satisfy all the aspects of the requirements, and the assurance of product completeness at each release and increment as per the Software Development Life Cycle (SDLC) is adhered to by the current HHSC Claims Administrator contractor.</p> <p>The ongoing TX Medicaid IV&V focuses on the completeness, accuracy, and traceability of the business and system requirements as contractually required per the original HHSC statement of work.</p> |
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5.1.4 Letters of Reference

Reference Letter 1 – Joseph Graves, Texas Health & Human Services Commission

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|----------------------------|---|
| Contact Information | Joseph Graves 512-249-3740 Joseph.Graves@hhsc.state.tx.us |
|----------------------------|---|

Texas Health & Human Services Texas Medicaid

November 3, 2011

JoAnn Cowger
Iowa Medicaid Enterprise
100 Army Post Road
Des Moines, Iowa 50315

Subject: Letter of Reference

Dear Ms. Cowger,

It is the Texas HHSC policy to not provide reference letters for the vendors. Texas HHSC instead agrees to be listed on the vendor contact list and will be available to answer any inquiries based on the performance experience of Software Engineering Services (SES).

SES has been contracted with the Texas Health and Human Services Commission since December of 2006 as the Prime Contractor for the Texas Medicaid Independent Verification and Validation (IV&V) of our MMIS Claims Administrator. The first projects were assigned as a result of federal mandates which included the National Provider Identifier (NPI) project and the Medicaid Integrated Technology Architecture (MITA) Phase 1 – State Self-Assessment (SSA) project.

After the successful completion of those projects, SES's IV&V Team supported the State of Texas Medicaid on other projects such as the Change Order Request/Response (COR) Process Improvement, the Texas V21 Encounter Data Warehouse project architecture analysis, the Statistical Management Reporting system (STAT) Enhancement development project, the Upgrade to X12 5010 Analysis and Implementation projects, the transition project for the Pharmacy Claims and Rebate Administrator, and the transition project for the Medical Transportation Program. This June, Texas HHSC awarded SES an additional two-year contract of continued IV&V work with up to four extension years of contract work.

If you should have any questions or would like to request further information regarding this work experience please contact the Texas HHSC representative via the contact information listed below.

Joe Graves
Systems Analyst
HHSC IT - HIPAA PMO and MCD Technical Contract Support
Texas Health and Human Services Commission
512-249-3740 (Riata)
512-491-1390 (Braker)
joseph.graves@hhsc.state.tx.us

Texas HHSC Medicaid
Braker Center, Bldg H
11209 Metric Blvd
Austin, TX 78758

Reference Letter 2 – Jennifer Huff, Florida Department of Revenue

| | |
|----------------------------|--|
| Contact Information | Jennifer Huff 850-617-8049 HuffJ@dor.state.fl.us |
|----------------------------|--|



Executive Director
Lisa Vickers

Child Support Enforcement
Ann Coffin
Director

General Tax Administration
Jim Evers
Director

Property Tax Oversight
James McAdams
Director

Information Services
Tony Powell
Director

October 24, 2011

JoAnn Cowger
Iowa Medicaid Enterprise
100 Army Post Road
Des Moines, Iowa 50315

RE: Letter of Recommendation

Dear Ms. Cowger,

Since 2008, Software Engineering Services, Inc. (SES) has been the Florida Department of Revenue's contractor of Independent Verification and Validation (IV&V) of Phase II of the Child Support Enforcement (CSE) Automation Management System (CAMS) project. Their contract was initially scheduled to end in June 2011; however, the contract was renewed for one year.

The SES personnel assigned to our contract are knowledgeable and professional; their work products are delivered on time and properly completed. They have also maintained their independence and have not given advice as consultants, which is vital for the success of the project.

Overall, SES has been a pleasure to work with, and the Iowa Department of Human Services would be pleased with SES as your vendor.

If you have any questions regarding SES's work with the Florida Department of Revenue or need additional information, please do not hesitate to contact me at 850-617-8049, or by email at HuffJ@dor.state.fl.us.

Sincerely,

Jennifer Huff
Government Operations Consultant II
Contract Management Unit
Office of the Director

Tallahassee,
Florida
32399-0100
www.myflorida.com/dor

Reference Letter 3 – Lee Maddox, Alabama Medicaid Agency

| | |
|----------------------------|---|
| Contact Information | Lee Maddox 334-242-5602 Lee.Maddox@Medicaid.Alabama.gov |
|----------------------------|---|



ROBERT BENTLEY
Governor

Alabama Medicaid Agency

501 Dexter Avenue
P.O. Box 5624
Montgomery, Alabama 36103-5624

www.medicaid.alabama.gov
e-mail: almedicaid@medicaid.alabama.gov

Telecommunication for the Deaf: 1-800-253-0799
334-242-5000 1-800-362-1504



R. BOB MULLINS, JR., MD
Commissioner

October 31, 2011

JoAnn Cowger
Iowa Medicaid Enterprise
100 Army Post Road
Des Moines, Iowa 50315

Dear Ms. Cowger:

Please accept this letter of reference for Software Engineering Services. Our relationship with Software Engineering Services (SES) dates from February 2002 to the present. SES was chosen to partner with the State of Alabama Medicaid Agency for MMIS HIPAA remediation through PMO, IV&V, QQ, Privacy, and Security services. Additionally, SES was selected to support MMIS IV&V, CMS certification, MMIS UAT and MITA services. SES is currently providing MMIS consulting, ICD-10 analysis, and Medicaid Eligibility system conversion services.

SES personnel have proven to be an excellent IT and Process Engineering firm with very competent and dedicated professional IT resources. The caliber of service the Agency received from SES has met and exceeded my expectations of a CMMI Level 3 organization. I consider the decision to partner with SES on the HIPAA Assessment and Implementation and MMIS oversight to have been an outstanding choice. It is with this in mind that I offer this letter of reference. I am positive with my recommendation to the Iowa Department of Human Services regarding SES's involvement with any respective projects will be of great benefit and value.

If you should have any further questions regarding the services SES provided to the State of Alabama Medicaid Agency, please contact me by telephone at (334) 242-5602, fax at (334) 353-1810, or email me at Lee.Maddox@medicaid.alabama.gov.

Sincerely,

Lee Maddox
Deputy Commissioner
Customer Service Center Administration

Our Mission - to provide a system of financing health care for eligible Alabamians in accordance with established statutes and Executive Orders.

Reference Letter 4 – Bonnie L. Bjork, South Dakota Department of Social Services

| | |
|----------------------------|---|
| Contact Information | Bonnie L. Bjork 605-773-8500 Bonnie.Bjork@state.sd.us |
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DEPARTMENT OF SOCIAL SERVICES
DIVISION OF MEDICAL SERVICES
700 GOVERNORS DRIVE
PIERRE, SD 57501-2291
PHONE: 605-773-3495
FAX: 605-773-5246
WEB: dss.sd.gov

November 3, 2011

To whom it may concern:

I am pleased to have the opportunity to recommend FourThought Group, Inc. as a contract-worthy vendor for Health Care Services projects. I had the opportunity to work directly with FourThought Group during the South Dakota MMIS Project. FourThought Group provided Quality Assurance, Independent Verification and Validation (IV&V), MMIS Technical Assistance and MITA Assessment and Implementation Planning services during this effort from March 2008 to March 2011.

Throughout their contract with South Dakota, FourThought Group met the established performance criteria. They remained compliant with contract requirements, provided outside technical and managerial expertise to the Project while also meeting stringent budgetary and timeline restraints. FourThought Group's flexibility and collaborative attitude proved invaluable to South Dakota Department of Social Services during our planning and implementation efforts.

Should you, or anyone within your organization care to discuss their capabilities and contributions, please do not hesitate to contact me.

Sincerely,

A handwritten signature in cursive script that reads 'Bonnie L. Bjork'.

Bonnie L. Bjork
SD MEDX Deputy Project Director
(605)773-8500
Bonnie.Bjork@state.sd.us

5.1.5 Experience Managing Subcontractors

The SES Team uses proven methods and processes based on SEI CMMI Maturity Level 3 practices to provide effective and successful subcontractor management. Our approach uses a blend of tools and processes to create an ideal mix for successful subcontractor management and execution.

Team SES will implement a “single-badge” Integrated Process Team (IPT) structure. SES utilizes a fully compliant SEI CMMI Supplier Agreement Management (SAM) Process methodology to effectively manage subcontractors. All the key discipline requirements are satisfied with a fully documented process and the formality of the prime-subcontractor relationship will be maintained through adherence to proven subcontract management policies for:

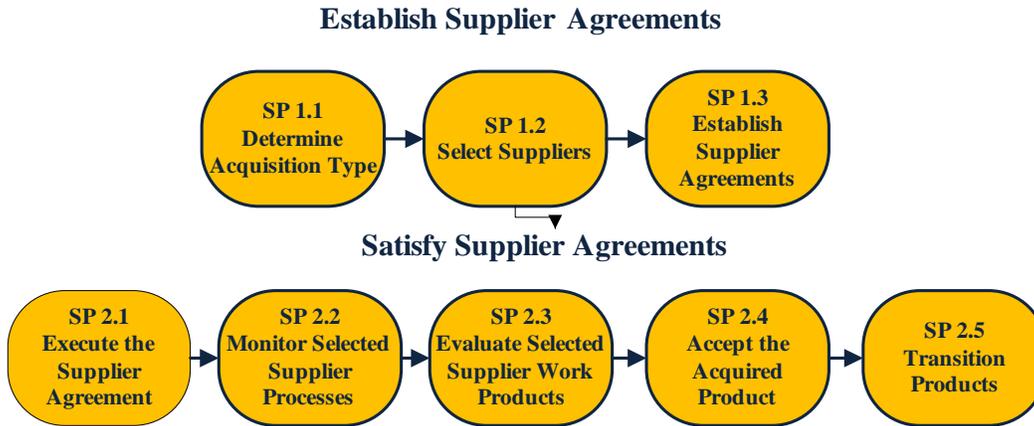
- Formal teaming agreements
- Specifying work to be performed, authorized funding level, schedule, deliverables, and assignments
- Flow-down of applicable contract terms, conditions, and quality objectives

All Team SES employees will be managed together for the duration of the contract. In fact, using the single badge concept, Iowa DHS will not be able to distinguish one contractor from another, it will simply be Team SES performing the task orders and it will be SES completely responsible for meeting the state's needs.

Software Engineering Services clearly believes it has eliminated 99% of any potential subcontractor problems by:

- Using subcontractors with whom we have a very successful working relationship
- Teaming with companies that understand and respect the State's mission
- Teaming with companies that are committed to quality products and services
- Having in place well-established SAM processes, that foster open communication and feedback, built on proactive steps to achieve quality objectives
- Using an experienced program manager to ensure a total team effort

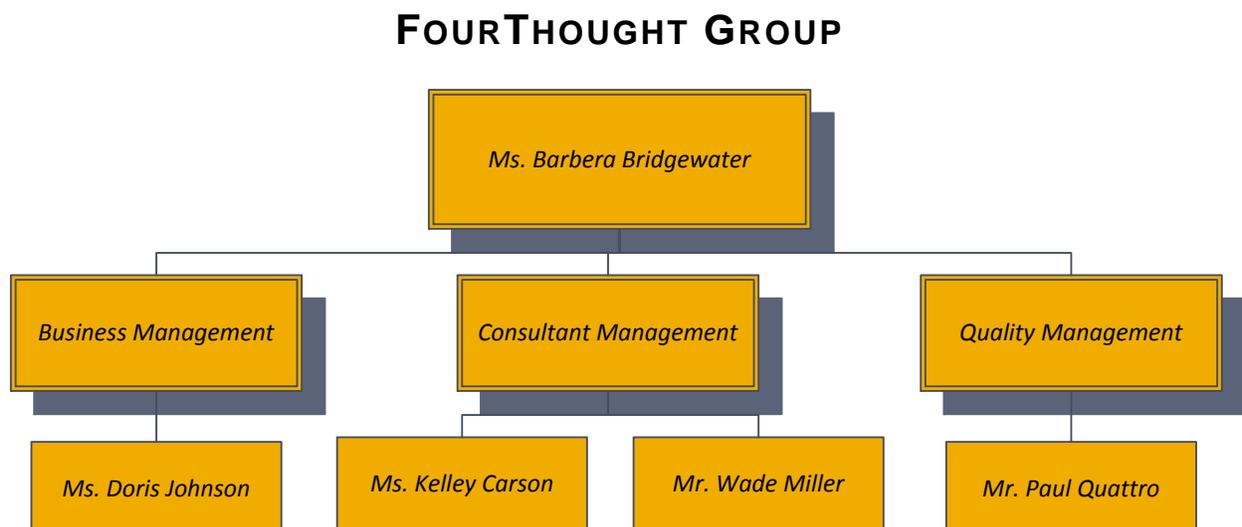
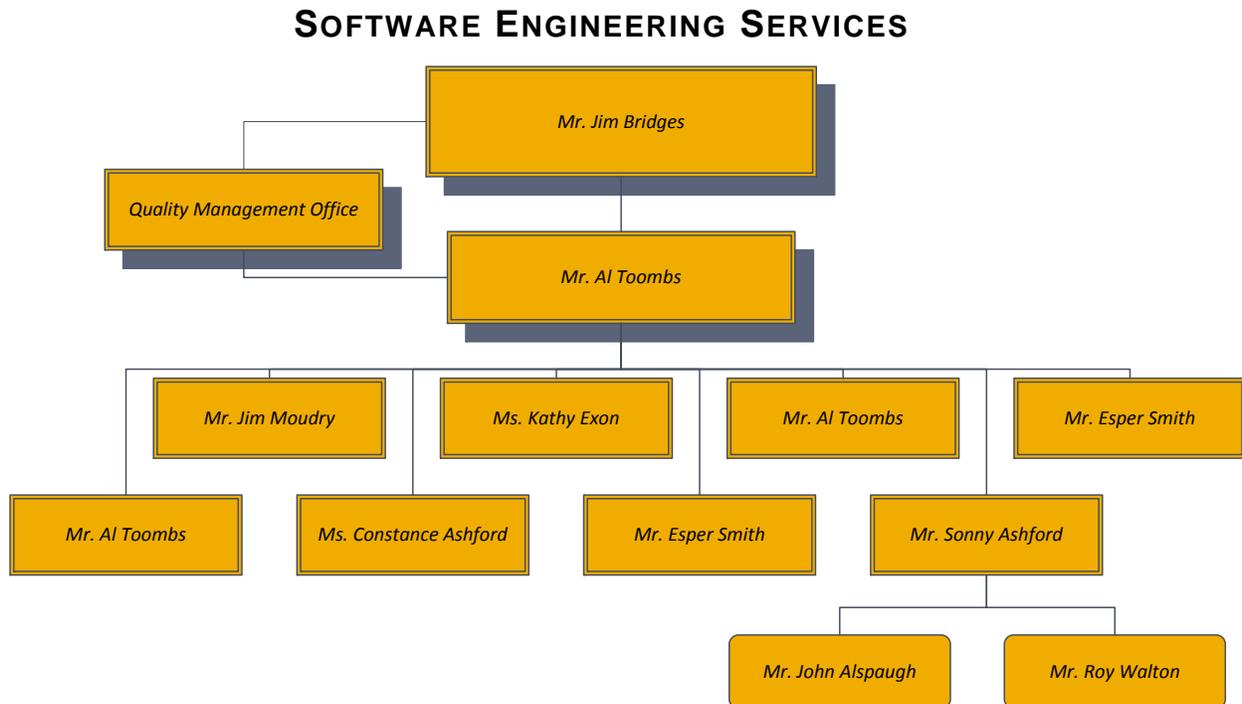
Each team member fully understands SES responsibility to lead the team in a productive, focused, and quality driven approach. Through effective subcontract management, the State will be the recipients of superior quality products from a highly efficient process-based team. The CMMI Supplier Agreement Management process for Subcontractor Management shown below:



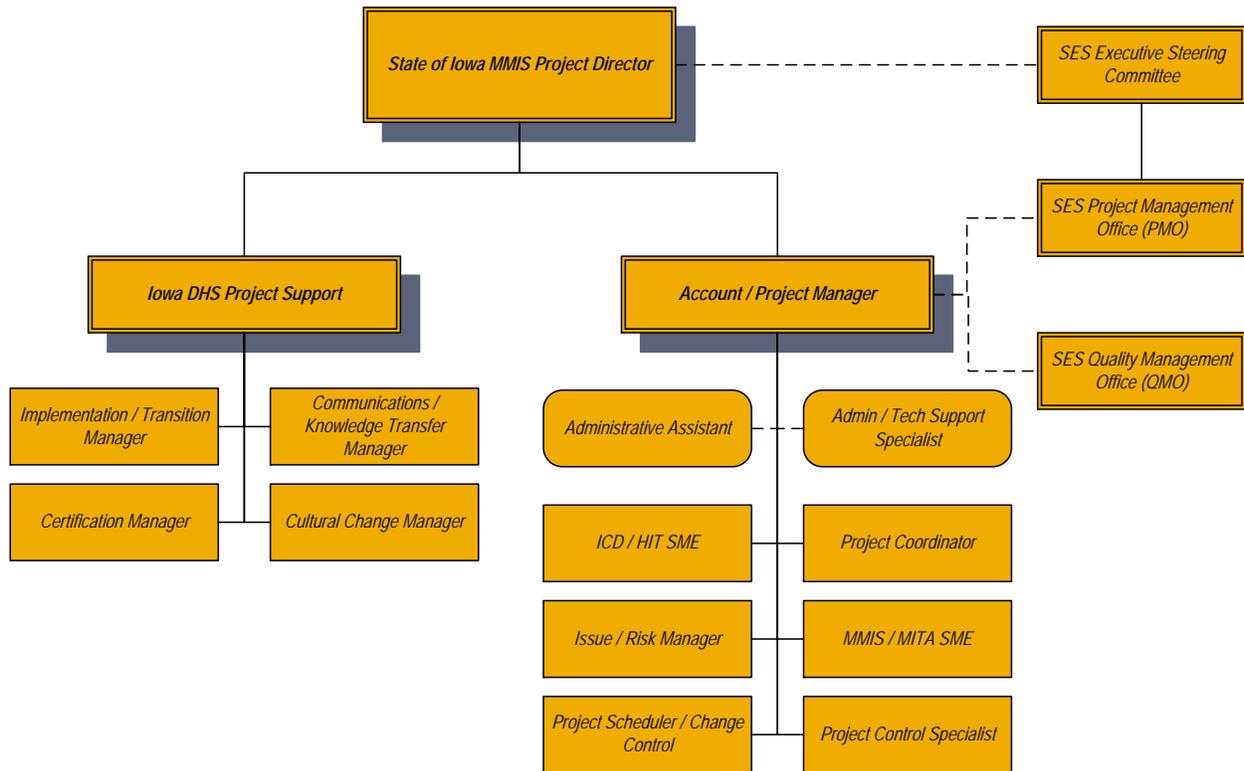
5.2 Personnel

5.2.1 Tables of Organization

Overall Operations



Staff for Iowa MMIS POMI Project



5.2.2 Names and Credentials of Personnel

| Personnel Name | Credentials |
|--|---|
| Shane Gruchow (Project Manager) | M.B.A., Management and Strategy, Western Governor's University, 2009 B.A., English, University of Wisconsin at Madison, 2001 Project Management Professional Certification (PMP), Project Management Institute, 2011 Certified Master of Business Administration (MBA), International Certification Institute, 2009 |
| RJ Droll (Cultural Change Manager) | B.A., English, University of Northern Iowa. |
| Karen Barnett (Communications/Knowledge Transfer Manager) | B.S., Human Development, UC Davis, 1994. Series 6 Securities License, 2001; Series 63 Securities License, 2001; Series 65 Securities License, 2001; Life Agent License, 2001. |
| Loyd Kintz (Implementation/Transition Manger) | B.S., Physics, Capital University Continuing education in computer science, accounting, Industrial Development Object Oriented Analysis & Design (OOAD), Java, Web Page Design, Project Management. Certificate of Project Management from IUPUI Self Study (2004): RUP, UML CMS web courses on Medicare (2010) WPS internal HIPAA and security training (2010) MMIS Level 1 Certification by S2Tech (Dec 2010) |
| Wade Miller (Certification Manager) | B.S., Justice Studies, Arizona State University, 1987 |

5.2.3 Project Manager and Key Project Personnel

Resume 1 – Shane Gruchow (Account/Project Manager)

Percentage of Time Devoted to Project Per Month: 100%

CAREER SUMMARY

Knowledgeable leader in government contracting, with experience on five different Fiscal agent and Medicaid Management Information Systems from the Texas Medicaid Healthcare Partnership to Wisconsin MMIS. Over 6 years of experience in senior management positions and over five years working on various MMIS projects. Certified Project Management Professional (PMP) with a Masters of Business Administration in Management and Strategy.

RELEVANT/RELATED PROFESSIONAL EXPERIENCE

Affiliated Computer Services (ACS) - A Xerox Company

Jun 2004 – Present

Program Manager

- Currently the Project Director on three dissimilar contracts for different clients with overall responsibility for the accounts (i.e. service delivery, sales, operations, IT, HR, facilities). The position manages the client relationships ensuring customer satisfaction and client objectives are achieved. Has sole responsibility for profit and loss, and overall control of planning, staffing, budgeting, managing expense priorities, and recommending and implementing changes to methods for the business units. Provides budget analysis, labor planning, problem resolution, risk mitigation, database and software development oversight, and coordination of activities between client and company personnel. The position requires strong technical, communication and management skills and extensive experience in managing the operations of a business.
- Previous positions with ACS included management of Colorado MMIS claims processing unit, third party liability, claim resolution, and the MMIS check processing units with daily interactions with the Colorado Department of Health Care Policy and Finance to research claims, process requests, and make policy recommendations. Additional positions included assessing a fiscal agent & MMIS for conversion to the HIPAA National Provider Identifier in Colorado and Wyoming, financial management of the Colorado MMIS, and comprehensive training on the Texas Medicaid Healthcare Partnership and Georgia Health Partnership operations.

Cambridge Square Condominium Association

Oct 2005 – Present

Member of the Board of Director

- Treasurer and Secretary on an elected board of directors. Responsibility includes financial planning, revenue and expense oversight, vendor research and management, documentation of community and BOD activities, and annual presentation of the community's activities and budget. The Association's responsibilities include heating and cooling of all the units, utilities, property and building maintenance, dispute resolution, and covenant enforcement.

HP Enterprise Services

May 2002 – Jun 2004

Business Analyst

- Lead analyst for the Wisconsin Fiscal Agent & MMIS Financial Reporting team that modified and maintained the financial reporting system in accordance with the Centers for Medicare and Medicaid Services. System changes were conducted using a similar process as DDI. The financial reporting system was used to reported Medicaid expenditures to the federal and state governments for reimbursement. The financial reporting system also produced the weekly reports to the providers, and issued checks to those with balances.

EDUCATION AND PROFESSIONAL CERTIFICATIONS/AFFILIATIONS

M.B.A., Management and Strategy, Western Governor's University, 2009

B.A., English, University of Wisconsin at Madison, 2001

Project Management Professional Certification (PMP), Project Management Institute, 2011

Certified Master of Business Administration (MBA), International Certification Institute, 2009

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|---|---|
| Reference Name | Pamela K. Harris, President; Mile High Montessori Early Learning Centers |
| Company Name | Mile High Montessori Early Learning Centers |
| Company Mailing Address | Mile High Montessori Early Learning Centers 1780 Marion Street Denver, CO 80218 |
| Phone Number | (303) 861-2602 |
| Email | pamelah@milehighmontessori.org |
| Description of Candidate's professional experience within the last 5 years | Program Manager and Customer Care Manager responsible for the Denver Preschool Program contract and deliverables to the Denver Preschool Program. |

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|---|---|
| Reference Name | James Mejia, President & CEO; Denver Preschool Program |
| Company Name | Hispanic Chamber of Commerce of Metro Denver |
| Company Mailing Address | Hispanic Chamber of Commerce of Metro Denver 924 West Colfax Avenue #201 Denver, CO 80204 |
| Phone Number | (303) 905-9671 |
| Email | mesmejia@hotmail.com |
| Description of Candidate's professional experience within the last 5 years | Program Manager and Customer Care Manager responsible for the Denver Preschool Program contract and deliverables to the Denver Preschool Program. |

| | |
|---|---|
| Reference Name | William "Bill" Delange, Customer Service Manager; Catholic Health Initiatives |
| Company Name | Catholic Health Initiatives |
| Company Mailing Address | Catholic Health Initiatives 198 Inverness Drive West Englewood, CO 80112 |
| Phone Number | (303) 591-9542 |
| Email | Unknown |
| Description of Candidate's professional experience within the last 5 years | Program Manager for Children's Health Plan Plus contract and one of two managers that oversaw my work as a Financial Manager on the Colorado MMIS and CHP+. |

Resume 2 – RJ Droll, Cultural Change Manager

Percentage of Time Devoted to Project Per Month: 100%

CAREER SUMMARY

Over 8 years of Information Technology experience; Over 6 years of Healthcare IT experience, including overseeing and developing initiatives to effect cultural change within State of Iowa Government Agencies (IDHS).

RELEVANT/RELATED PROFESSIONAL EXPERIENCE

Software Engineering Services **Jun 2010 - Present**

Healthcare Analyst/Subject Matter Expert for Nashville HIPAA

- Serve as point of contact for City of Nashville Metro agencies when questions/concern arise involving compliance and/or potential violations to the Health Insurance Portability and Accountability Act (HIPAA).
- Act as Subject Matter Expert to other SES resources when clarification is needed involving client HIPAA related Concerns.

Software Engineering Services **Oct 2010 – Nov 2011**

Lead Business Analyst/Tech Writer for Veterans Administration Central Iowa Health Care Systems Business Intelligence Project

- Business Analyst – Conduct Client Interviews with various Frontline staff across multiple Service Lines in order to gather information pertaining to reports required to improve quality management of patient care and service across the organization.
- Translate information gathered from client into clear and concise requirements for build team during the development of large scale Business Intelligence Reporting System build and implementation.
- Oversee verification of requirements on the SES Build Environment prior to migration to VA Test Environment.
- Manage client expectations.
- Oversee User Acceptance Testing (UAT) on VA Test Environment.
- Work with Project Manager and Account Executive on Change Requests as dictated by Client during UAT.
- Perform quality control on all written deliverables.
- Develop clear and concise End User Training Materials.

AIDS Project Central Iowa **Jan 2010 – Present**

Board Member/Regional Peer Advocate for Project HIM/Peer Advocate (Volunteer Position)

- Serve as board member for Project HIM (Healthy Iowa Males).
- Conceive and implement change strategies for communicating health care information to at-risk populations in Central Iowa.
- Work to effect cultural change within target populations by increasing knowledge and awareness of STD infection rates and methods.
- Distributing supplies and information to members of at-risk population throughout Central Iowa to reduce STD Transmission.

Software Engineering Services **Jan 2009 – Oct 2010**

Proposal Development Writer

- Proposal Development Writer - Review Requirements from RFP/SOW/RFI/RFQ from all 50 states and local governing authorities. Provide direction for all Master Contract bid initiatives. Craft high quality responses, explaining technical solutions in a manner that non-technical evaluators can understand our proposed solutions.
- Coordinate tasks and writing assignments with various members of the internal corporate Business Development Support Team (BDST). Edit and compile responses into a single cohesive document.
- Perform quality control on final draft documents. Produce high-quality, winning proposals under tight deadline restrictions.
- Participate in post-award decision reviews.

Software Engineering Services

Jul 2004 – Jan 2009

Project Coordinator/Assistant Information Privacy and Security Officer for Internal/ Iowa Department of Human Services

- Worked with Iowa Department of Human Services Privacy and Security Officer, Bureau Chief of the Bureau of Network Support, and Chief Information Officer to develop and implement effective cultural change management strategies in order to prepare IDHS employees for changes in their day-to-day duties due to implementation of the HIPAA Privacy and Security Rules.
- Conducted and developed Knowledge Base surveys for distribution across the DHS environment to gauge overall awareness of the requirements of the HIPAA Privacy and Security Rules.
- Designed and distributed HIPAA Awareness Posters throughout the DHS Central Office (Hoover State Office Building – 1st and 5th Floors).
- Assisted in the development and implementation of all IDHS HIPAA related Security Policies and Procedures.
- Responsible for management and upkeep of the HIPAA Security Policies and Procedures, including communicating all changes to the IDHS personnel affected by the changes.
- Analyzed HIPAA Final Security Rule to develop a list of new policies needed to ensure State compliance. Gathered requirements from IT staff and policy staff to create new procedures and processes and to respond to request from State and Federal Auditing authorities.
- Maintained currency with HIPAA changes to state and federal laws, as well as to software solutions utilized by the State to update and maintain DHS IT Security Policies, Procedures, and Processes; as well as handbooks and Duty Manuals.
- Performed final edits on documents written by the Security Officer and other IT staff before publication or submission to DHS cabinet.

EDUCATION AND PROFESSIONAL CERTIFICATIONS/AFFILIATIONS

B.A., English, University of Northern Iowa, 2001

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| Reference Name | David Sullivan, (former) Project Manager; Veterans Administration Central Iowa Health Care |
| Company Name | Veterans Administration Central Iowa Health Care |
| Company Mailing Address | PO Box 414 Valley, NE 68064 |
| Phone Number | 402-680-5930 |
| Email | david.sullivan@ix.netcom.com |
| Description of Candidate's professional experience within the last 5 years | Lead Business Analyst/Tech Writer for Veterans Administration Central Iowa Health Care Systems Business Intelligence Project. Conduct Client Interviews with various Frontline staff across multiple Service Lines in order to gather information pertaining to reports required to improve quality management of patient care and service across the organization. Translate information gathered from client into clear and concise requirements for build team during the development of large scale Business Intelligence Reporting System build and implementation. Oversee verification of requirements on the SES Build Environment prior to migration to VA Test Environment. Manage client expectations. |

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| Reference Name | Steve Mosena, Privacy and Security Officer (now retired); Iowa Department of Human Services |
| Company Name | Iowa Department of Human Services |
| Company Mailing Address | Iowa Department of Human Services Hoover State Office Building 1305 East Walnut Street Des Moines, IA 50319 |
| Phone Number | (515) 210-8555 |
| Email | smosena@hotmail.com |
| Description of Candidate's professional experience within the last 5 years | Project Coordinator/Assistant Information Privacy and Security Officer for Internal/ Iowa Department of Human Services. Worked with Iowa Department of Human Services Privacy and Security Officer, Bureau Chief of the Bureau of Network Support, and Chief Information Officer to develop and implement effective cultural change management strategies in order to prepare IDHS employees for changes in their day-to-day duties due to implementation of the HIPAA Privacy and Security Rules. |

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| Reference Name | Paul Whannel, Marketing & Internet Communications Specialist; Aids Project of Central Iowa |
| Company Name | Aids Project of Central Iowa |
| Company Mailing Address | Aids Project of Central Iowa 711 East 2nd Street Des Moines, IA 50309 |
| Phone Number | (515) 344-5046 |
| Email | Paulw@aidspjectci.org |
| Description of Candidate's professional experience within the last 5 years | Serve as board member for Project HIM (Healthy Iowa Males) and is a Regional Peer Advocate. (Volunteer Position) |

Resume 3 – Karen Barnett, Communications/Knowledge Transfer Manager

Percentage of Time Devoted to Project Per Month: 100%

CAREER SUMMARY

Over 20 years of Information Technology (IT) consulting experience as a Senior Business Analyst focused on business process engineering. Extremely strong business and analysis skills in performing independent verification and validation (IV&V) on project documentation including system design specifications and functional specifications. Professional experience encompasses the full project life cycle from project inception to project closure, including conducting feasibility studies and solution comparisons, gathering requirements, charting the flow of business processes, diagramming system interfaces, implementing performance measures, and performing business transformation.

Adept at performing independent verification and validation (IV&V) on system requirements, functional specifications, system design specifications, test documentation including test strategy, test plans, and test scripts, test results, and general project documentation for Medicaid and Child Support Enforcement. Extensive experience in workflow analysis, including development of workflow process maps, workflow methods, operational procedures, and coordinating system interfaces for Medicaid. Excellent written, listening, and verbal communication skills as well as excellent time management skills.

Senior Business Consultant in a number of foreign countries associated with launching start-up companies in the communications industry. Experience ranged from inception through all stages of development up to launch.

Primary areas of expertise include: Independent Verification & Validation (IV&V), Systems Analysis, Workflow Business Processes; Facilitation; Interface Coordination; Network Management; Testing; Communications; Measuring Performance, Balanced Scorecard, and Feasibility Studies.

RELEVANT/RELATED PROFESSIONAL EXPERIENCE

Software Engineering Services

Apr 2007 - Present

IV&V Analyst for Florida Child Support Enforcement Project

- Development Oversight Lead. Created a 5-Year Project Management Plan.
- Performed IV&V on project documents that included system requirements, functional specifications, requirements traceability, interface definitions, development guidelines and conventions, rollout strategy, and the test plans.
- Attended an average of 50 project meetings per month and created a meeting worksheet for each meeting.
- Documented findings, conducted interviews, conducted processes evaluations, and answered questions in the Development Oversight Checklist for assessing the process and effectiveness.
- Participated in the preparation of the Quarterly Comprehensive Review Report and Interim Report; and attended quarterly meetings with representatives from the Federal Office of Child Support Enforcement (OCSE).

First Data Government Solutions

Jun 2007 – Mar 2007

Senior Business Process Analyst for Ohio Health Plans Medicaid Project

- Successfully worked as a member of the Business Transformation Team on the Medicaid project for Ohio Health Plans to assist State staff in accepting a suite of new technology to perform their day-to-day activities.
- Responsibilities included conducting interviews with Bureaus; created 48 as is workflow process maps; worked with State staff to identify organizational change opportunities using new technology; Participated in creating the Business Transformation Plan.

Software Engineering Services

Apr 2004 – Jul 2006

Senior Business Process Analyst for Iowa Medicaid Enterprise

- A key member of a team of consultants on the Iowa Medicaid Enterprise project that migrated Medicaid claims processing from an outsourced fiscal agent to nine vendors, successfully created 45 workflow process maps using Visio, created a system interface drawing with 211 interfaces, performed IV&V on workflow design specifications for OnBase, workflow test cases, and a test plan, implemented the balanced scorecard with over 400 performance measurements.
- Performed Knowledge Transfer among the nine vendors by conducting a Workshop and holding weekly meetings for the first nine months of the project. During the Medicaid Workflow Process Maps Workshop, the vendors collaboratively updated their process maps, providing an insight to Medicaid as a whole. During the weekly meetings, the vendors gave presentations on their responsibilities as well as updating the System Interface Drawing that provided a visual of how all the systems for Medicaid and corresponding Agencies interacted. In addition, the weekly meetings provided a place where the vendors could request a topic for discussion at the next meeting. About 50 vendor staff and Iowa Medicaid State staff attended the meetings.
- Met deliverables on time even though the project started 6 weeks late.

Nortel Networks GPS

Mar 2000 – Jun 2001

OSS Test Manager

- Proposal Development Writer - Review Requirements from RFP/SOW/RFI/RFQ from all 50 states and local governing authorities. Provide direction for all Master Contract bid initiatives. Craft high quality responses, explaining technical solutions in a manner that non-technical evaluators can understand our proposed solutions.
- Coordinate tasks and writing assignments with various members of the internal corporate Business Development Support Team (BDST). Edit and compile responses into a single cohesive document.
- Perform quality control on final draft documents. Produce high-quality, winning proposals under tight deadline restrictions.
- Participate in post-award decision reviews.

Nortel Networks GPS

Jul 1999 – Feb 2000

Business Process Analyst

- Responsible for writing Billing workflow processes and supporting documentation for Payments and Bad Debt Collection based on the TMN model using the Pathfinder methodology.
- Created an OSS Test Strategy document and participated in creating OSS Application documentation for a data service provider called ImpSat in Buenos Aires, Argentina.

EDUCATION AND PROFESSIONAL CERTIFICATIONS/AFFILIATIONS

B.S., Human Development, UC Davis, 1994

Series 6 Securities License, 2001; Series 63 Securities License, 2001; Series 65 Securities License, 2001; Life Agent License, 2001

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| Reference Name | Carolyn G. Thompkins, Program Director; Software Engineering Services |
| Company Name | Software Engineering Services |
| Company Mailing Address | Carolyn Thompkins 3304 Lemoyne Court Tallahassee, Florida 32312 |
| Phone Number | (850) 322-4420 |
| Email | cthompkins@sessolutions.com |
| Description of Candidate's professional experience within the last 5 years | Development Oversight Lead on the IV&V Team for the Florida Child Support Enforcement Project. Created a 5-Year Project Management Plan. Performed IV&V on project documents that included system requirements, functional specifications, requirements traceability, interface definitions, development guidelines and conventions, rollout strategy, and the test plans. |

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| Reference Name | Carol Oakes, Medicaid Expert; Self-Employed |
| Company Name | Self Employed |
| Company Mailing Address | Carol Oakes P.O. Box 470190 Aurora, Colorado 80047 |
| Phone Number | (303) 306-7301 |
| Email | Coakes42@live.ocm |
| Description of Candidate's professional experience within the last 5 years | A key member of a team of consultants on the Iowa Medicaid Enterprise project creating 45 workflow process maps; creating a system interface drawing with 211 interfaces; and implementing the balanced scorecard with over 400 performance measurements. Successfully worked as a member of the Business Transformation Team on the Medicaid project for Ohio Health Plans to assist State staff in accepting a suite of new technology to perform their day-to-day activities. Responsibilities included conducting interviews with Bureaus; created 48 as is workflow process maps; worked with State staff to identify organizational change opportunities using new technology; Participated in creating the Business Transformation Plan. |

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| Reference Name | Jan Post, General Manager; Net-Integrated Consulting (NIC) |
| Company Name | Net-Integrated Consulting (NIC) |
| Company Mailing Address | NIC 3636 Westown Parkway Des Moines, Iowa 50266 |
| Phone Number | (515) 778-5140 |
| Email | jpost@nicwdm.com |
| Description of Candidate's professional experience within the last 5 years | A key member of a team of consultants on the Iowa Medicaid Enterprise project that migrated Medicaid claims processing from an outsourced fiscal agent to nine vendors, successfully created 45 workflow process maps using Visio, created a system interface drawing with 211 interfaces, performed IV&V on workflow design specifications for OnBase, workflow test cases, and a test plan, implemented the balanced scorecard with over 400 performance measurements. |

Resume 4 – Loyd Kintz, Implementation/Transition Manager

Percentage of Time Devoted to Project Per Month: 100%

CAREER SUMMARY

Over 20 years experience writing and interpreting business process and business data models including Child Support and Medicaid. Well grounded in the Medicaid environment where Medicaid is a major component of the State's budget, providing health services to the State's most needy citizens, and making payments to the State's most powerful health providers. First worked on a Medicaid System in 1988. Experience with the wide variety of programs administered by a State Medicaid umbrella including Managed Care, Certificate of Need, Sole Practitioner Nurses, State Hospitals, County Mental Health boards, State Waivers, and other State and federally mandated programs. As an IV&V team member in Michigan, participated in monitoring the performance of COTS suppliers for product quality, vendor stability, vendor implementation support, and cost. As an analyst, understands that engaging the responsible people and organizations is essential to the collection of complete requirements.

Medicaid (Title XIX) Business and System analyst in five states: Michigan, Missouri, North Carolina, Ohio, and Texas. More than six years Medicaid experience. Child Support (Title IV-D) Business and System analyst in five states: Alabama, Illinois, Indiana, Michigan, Missouri. Nine years Child Support experience. Member of team preparing for federal Child Support Certification Review in Alabama and Indiana. Over 25 years IT experience including: Banking, Insurance, Human Services programs, Government Financials, Manufacturing, Public Utilities, and Retailing Point of Sale

RELEVANT/RELATED PROFESSIONAL EXPERIENCE

State of Texas

Sep 2011 - Present

Senior Medicaid System Analyst for Medicaid MCO Readiness Review

This review is required by Texas Medicaid prior to accepting encounter data from the new MCO implementation.

- Readiness Review team member evaluating MCO encounter processing upgrade to Facets. The Readiness Review team is verifying and validating project plans, test plans, and testing have been completed in accordance with industry standards and best practices.

Missouri Department of Health

Jun 2010 – Jun 2011

Business Information Analyst for Medicaid Enhancements Project (e-MMIS)

- Team Coordinator (agenda, minutes, and scheduling) for data warehouse support Ad Hoc inquiries, Surveillance and Utilization Review (SUR), and Management and Administrative Reporting (MARS).
- Coordinated data warehouse metadata upgrades distributed across four locations: server hardware team in NJ, server software team in CA, Ingenix in NC, and MMIS team in Jeff City.

- Wrote test scripts, wrote SQL queries to identify test data and tested MMIS Claims screens. Testing was completed as per project plan.
- Worked independently to analyze COBOL VSAM processing necessary for preparation of Detail Design program specifications for the VSAM to DB2 upgrade.
- Tools and Software: CICS, COBOL, DB2, EXCEL, HATS, SHAREPOINT, PROJECT, SPUFI, TSO, WORD

Wisconsin Physicians Services (C-SNAP)

Dec 2009 – May 2010

Project Lead for Medicare

Medicare CMS sponsored project to enable provider web based access to CMS EDC CICS systems FISS (Part A) and MCS (Part B).

- Facilitated JAD sessions to collect user requirements.
- Worked with end users in Omaha and Madison to document current business process.
- Worked with technical staff to define web access through WPS mainframe to Medicare Mainframe data center network.
- Worked with end users to identify process improvements.
- Maintained project plan.
- Author of Business Requirements and corresponding Product Design Requirements documents. Deliverables are in compliance with WPS standards which are based on Project Management Body of Knowledge.
- All deliverables on schedule as per the project plan.
- Tools and Software: CICS, COBOL, DB2, EXCEL, HATS, SHAREPOINT, POWERPOINT, PROJECT, TSO, WORD

Michigan Department of Human Services

Jun 2009 – Oct 2009

Trainer and Site Support Analyst on eligibility replacement system for TANF, IV-A, Food Stamp, Medical Assistance, Childcare, and Emergency Assistance.

- Provided user training and implementation site support at four MDHS district offices in urban Detroit.
- Developed end user guide for child welfare and foster care workers to retrieve information from Bridges.
- Trained and mentored Child and Family Services workers at four district offices in urban Detroit on use of Bridges for inquiries needed to support workers using MDHS SACWIS system (SWSS).
- Analyzed business processes for modifications to support location of client relatives and guardians.
- Analyzed reported problems prior to submission to help desk.
- Implementation in Detroit was completed as per project plan.
- Tools and Software: EXCEL, SHAREPOINT, POWERPOINT, WORD

Michigan Department of Community Health

Apr 2006 – Apr 2009

IV&V Team Member for Medicaid Replacement Project (CHAMPS)

CHAMPS went live in 2009 as per the project plan and was certified by CMS in 2011.

- Performed review of contractor deliverables and State responses.
- Monitored prime contractor JAD sessions for requirements validation.

- Performed IV&V review of SDLC Requirements and Design documents to validate accurate system analysis.
- Compliance review addressed CMS Requirements, CMS MITA standards, RFP requirements, and contract requirements.
- Document review included compliance with project governance documents, internal document consistency and project wide document consistency.
- Facilitated JAD sessions to compile document comments from State user areas and IV&V team.
- Identified risks by monitoring deliverable timeliness and compliance with Project Plan.
- Used Rational ClearQuest to categorize defects, enhancements, and documentation updates.
- Tools and Software: AS-ONE(project repository), CLEARQUEST, EXCEL, FILENET, POWERPOINT, PROJECT, SIEBEL, WORD

Ohio Department of Job and Family Services

Jan 2006 – Mar 2006

Requirements Analyst for Medicaid Data Warehouse Assessment

Ninety day project to assess the functions of the Ohio Medicaid data warehouse system. Study included the ability and HIPAA authority necessary to link the Medicaid related data sets of all agencies serving Medicaid recipients and other ODJFS clients.

- The resulting requirements were used in a request for proposal to enhance the Medicaid data warehouse system so that it is more MITA compliant.
- Conducted interview and JAD sessions to develop “as is” and “to be” requirement models.
- Co-author of “as is” and “to be” requirement models.
- Tools and Software: EXCEL, POWERPOINT, WORD

Client Network Services Inc

Sep 2005 – Dec 2005

Project Leader for Medicaid (eCAMS)

- Reviewed CNSI response to Michigan RFP for a replacement n-tier web based Medicaid system.
- Identified gaps between Base system being installed from Maine and Michigan requirements.
- Made recommendations to contract negotiations team.
- Received training on CNSI JAD methods and procedures.
- Helped draft Michigan project governance documents.
- Tools and Software: AS-ONE(project repository), EXCEL, POWERPOINT, PROJECT, WORD

North Carolina Department of Human Services

2004 - 2005

Project Leader for Medicaid Subsystem [NCLEADS]

Project to provide Medicaid replacement prime contractor with requirements and artifacts for replacement software and business process reengineering of Division of Facilities Services (DFS) and Professional Registration (PR). DFS and PR were included in the Medicaid replacement contract, but were not well defined in the RFP for the Medicaid replacement. Facilities include jails, hospitals, nursing homes, and all other medical facilities in North Carolina. New nursing homes and similar facilities are governed by a Certificate of Need process. Legacy software was loosely coupled FoxPro, Access, and Excel applications.

- Developed Project Plan, Identified Risks, and documented risk mitigation.
- Collected requirement artifacts.
- Identified processes to be reengineered.
- Reviewed prime contractor proposed Business Cases to be included in General Design Document.
- Liaison between users and prime contractor.
- Tools and Software: ACCESS, EXCEL, POWERPOINT, PROJECT, WORD

Michigan Family Independence Agency

2000 - 2004

Team Leader for Child Support (MICSES) Project

An n-tier centralized Oracle GUI application replaced a distributed VAX system. Customer test strategy included black box testing of new code and white box testing of legacy code where GAP design did not address retained features of legacy system.

- Tools and Software: EXCEL, PL/SQL, POWERPOINT, PROJECT, REMEDY, TOAD, WORD
 - MiCSES Post-implementation Enhancement Testing (Oct 203 – Mar 2004) - UAT Testing & Forms Design.
 - Team Lead User Acceptance Testing (UAT) of Prosecuting Attorney forms. Created test plans and executed test scripts for court order document generation and regeneration software. Testing addresses both requirements satisfaction and compliance with Prosecuting Attorney legal style manual. Documents are generated in TML and distributed as ADOBE PDF files.
 - Additional duties included forms business requirements analysis to develop change requests and prototypes of specialized court orders, summons, arrest warrants, and associated letters.
- MiCSES Deployment Team (Jul 2003 – Sep 2003) - Deployment Team – Implementation Help Desk.
 - Responsible for problem resolution and research of start up and conversion issues submitted by Deployment Team and Training Team members working in County offices.
 - Served as a MiCSES subject matter expert drawing on knowledge of internals, established relationships with development/testing, and experience on the legacy system to resolve implementation problems.
- MiCSES Testing (Jun 2001 – Jun 2003) – Child Support – Analysis and Testing.
 - Performed unit testing, integration testing, end-to-end, and system testing. Developed process flow diagrams for preexisting non-gap routines included in integration test.
 - Facilitated JAD sessions to prioritize test cases.
 - Trained and mentored new testers. Wrote a white paper explaining the use of decision trees (presented in POWERPOINT with VISIO diagrams), for the development of test plans. Presented classes based on the white paper.
- CSES (Child Support Legacy) Testing (Nov 2000 – May 2001) – Analysis and Testing
 - Tested enhancements to deploy legacy state-wide.
 - Supervised development of test plans and execution of test scripts for: Member of Change Quality Assurance Board.

Franklin County Data Center

1991 - 1992

Project Leader for County Government

Direct responsibility for upgrading primary county applications involving real estate, tax collection, licensing, and court justice system. County users included Auditor, Treasurer, Public Health department, Auto Registration & Licenses, and other county agencies.

- Implemented automated reconciliation of financial warrant processing. Warrant reconciliation processing cost was reduced by 15%.
- Implemented enhanced county IBM mainframe real estate database system with tight link to graphic real estate parcel database on a VAX system.
- Improved IS productivity and morale by implementing team programming and CASE (Computer Aided System Engineering) tools. Case tools included automated requirements gathering and prototyping of user interfaces.
- Tools and Software: ACCESS, CICS, COBOL, EXCEL, WORD

Ohio Department of Human Services

1988 - 1989

Audit Analyst for Medicaid

Federally funded one-year Technical Assistant contract to Ohio Medicaid.

- Co-author of Medicaid Provider Relations Unit claims processing audit.
- Recommendations from Medicaid audit resulted in effective staffing changes, 20% paper flux reduction, and reconfiguration of PBX/ACD phone system.
- Updated county administrative procedures manual regarding Federal Financial Participation (FFP) payments to counties based on US Health and Human Services and US Department of Agriculture rules as published in United States Code of Federal Regulations (CFR).
- Revised and updated RFP for equipment maintenance.
- Tools and Software: ACCESS, EXCEL, WORDPERFECT

EDUCATION AND PROFESSIONAL CERTIFICATIONS/AFFILIATIONS

- B.S., Physics, Capital University
- Continuing Education
 - Ohio State University (Columbus, OH): Computer Science, Accounting
 - Alabama Industrial Development Object Oriented Analysis & Design (OOAD), Java
 - Indiana Purdue Fort Wayne (Fort Wayne IN): Web Page Design
 - Indiana Purdue Indianapolis (IUPUI) (Indianapolis IN): Project Management
- Certificate of Project Management from IUPUI
- Self Study (2004): RUP, UML
- Technical seminar (2005) "The ABCDs of Persuasive Presentations – How to Influence Your Next Audience" by Joseph Madrano.
- CMS web courses on Medicare (2010)
- WPS internal HIPAA and security training (2010)
- MMIS Level 1 Certification by S2Tech (Dec 2010)

PROFESSIONAL REFERENCES

| | |
|---|--|
| Reference Name | Subramani Ranganathan, Test Team Lead; S2Tech |
| Company Name | S2Tech |
| Company Mailing Address | S2Tech 720 Spirit 40 Park Drive Chesterfield, MO 63005 |
| Phone Number | (859) 539-6684 |
| Email | Subramani.Ranganathan@hotmail.com |
| Description of Candidate's professional experience within the last 5 years | For Missouri Medicaid enhancement project: Business Information Analyst (BIA) on enhancement project to upgrade Missouri MMIS system from VSAM files to DB2 database. Work assignments included testing claims screens and preparation of Detail Design program specifications for the VSAM to DB2 upgrade. A parallel BIA assignment was Team Coordinator (agenda, minutes, and scheduling) for data warehouse upgrade of Ad Hoc inquiries, Surveillance and Utilization Review (SUR), and Management and Administrative Reporting (MARS). |

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| Reference Name | Matt Schick, Senior System Analyst; |
| Reference current Company Name | Ford Corporate Data Center Global Order Bank |
| Reference Current Company Mailing Address | Detroit Mi |
| Phone Number | (313) 585- 8917 |
| Email | schick.matthew@gmail.com |
| Description of Candidate's professional experience within the last 5 years | For WPS Medicare project: Business analyst on web based software enhancement to enable Provider real-time access to CMS CICS systems FISS (Part A) and MCS (Part B). Author of Business Requirements and Product Design Requirements documents. |

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| Reference Name | Jim Kunz, IV&V Manager |
| Reference current Company Name | Kunz, Leigh & Associates |
| Reference current Company Mailing Address | P.O. Box 70187 28081 Southfield Road Lathrup Village, MI 48076-2816 |
| Phone Number | (248) 885-4050 |
| Email | j.kunz@kunzleigh.com |
| Description of Candidate's professional experience within the last 5 years | <p>For Michigan Medicaid Replacement project:</p> <p>Provided IV&V review of Project Governance Documents, Requirements Validation Documents, Detail Design Documents, and miscellaneous Plan Documents. Recommended acceptance or rejection of Requirements and Design documents for Provider, Prior Authorization, Benefits, Reference, Document Management, Call Center, Third Party Liability, and Common Components subsystems. The IV&V review considered project library documents published in the project library (As-One) for compliance with CMS Requirements, RFP requirements, and contract requirements. The document review also included compliance with project governance documents, internal document consistency, business rule clarity, and consistency across project subsystems.</p> <p>Tracked test results using Rational ClearQuest for defects identified in: Interfaces, eCAMS Common Components, and Member Services (Siebel CRM) subsystems.</p> |

Resume 5 – Wade Miller, Certification Manager

Percentage of Time Devoted to Project Per Month: 100%

CAREER SUMMARY

Successful Information Technology Executive with more than twenty 20 years of experience in the Medicaid and health care claims processing industry. Strong, disciplined leader having managed projects in Georgia, Florida, South Dakota, New Mexico and Arizona. Experience with CMS MMIS certification in several states including Alabama, Arizona, Florida, Georgia, and South Dakota. Most recently assisted the State of South Dakota in their preparation for MMIS certification following the current CMS certification protocol. A results-oriented team player, who can effectively manage staff. Adept in understanding and communicating the customer's needs in order to complete projects timely, efficiently, and meet or exceed customer expectations.

Management consulting is broad, with a focus on large-scale project management, strategic planning, and system development, testing and implementation. Provides extensive experience in project management, RFP development, facilitation, as well as system design, development, and implementation of Medicaid Management Information Systems (MMIS). Brings experience in Medicaid Operations, MCO operations, MCO Operational Readiness Assessments, MITA Assessments, operational change management, requirements definition development, independent verification and validation, and data modeling.

RELEVANT/RELATED PROFESSIONAL EXPERIENCE

FourThought Group, Inc

Jan 2005 - Present

Executive Consultant, Southeast Region

Provides client-level project oversight to Project Managers in the Eastern regions (North and South and also directly supports selected 4TG projects as assigned. Recent 4TG assignments include:

Technical Impact Analyst – Texas ICD-10 Documentation Services Project Apr 2011 – Present

- As a part of the 4TG Technical team, responsible for review and analysis of Texas HHSC Agencies impacted by the transition from ICD-9 to ICD-10 coding. Review of technical documentation for all impacted agencies including DADS, DARS, DSHS, and HHSC to determine what systems, components of systems and interfaces will need to be remediated and updated to accommodate the implementation of ICD-10 codes.

Deputy Project Manager – South Dakota PM and IV&V Services

Oct 2009 – Mar 2011

- Directed the activities of the 4TG team responsible for producing deliverables for Project Management and Independent Verification and Validation (IV&V) projects in the absence of the Project Manager. Performed IV&V project activities including requirements validation, systems analysis and design, system development activities, data conversion, unit testing, system testing, system acceptance testing, organization transition, and training programs for the South Dakota MMIS Replacement Project.
- Worked with the State and the MMIS vendor to map all RFP requirements to the CMS certification checklists, identify necessary data required to provide evidence for each

checklist criterion, provide suggested State response for each checklist item and work with the testing team to ensure that UAT test cases were developed to demonstrate the systems' ability to meet certification checklist criteria.

Lead QA/IV&V Consultant – South Dakota PM and IV&V Services Jul 2008 – Sep 2009

- Created QA/IVV Plan, performed IVV and managed IVV consultants in all phases of the SD MMIS project. Performed Independent Verification and Validation project activities including requirements validation, systems analysis and design, system development activities, data conversion, unit testing, system testing, system acceptance testing, organization transition, and training programs for the South Dakota MMIS Replacement Project.

Client Executive – Vermont Project Management and IT Consulting Jul 2007 – Dec 2008

- Served as the Client Executive and provided consulting support for the Vermont MOVE eligibility system replacement project. Assisted with the MITA assessment and the development of the MOVE RFP. Assisted with state with preparation for CMS certification activities.

Client Executive – Alabama MMIS QA/IV&V Apr 2007 – Dec 2008

- Managed and directed staff on the day to day tasks as well as created and performed quality assurance (QA) on 4TG Deliverables and Fiscal Agent Deliverables. Provided onsite support during user acceptance testing and implementation cutover and assisted in the preparation for MMIS certification for the Alabama Medicaid QA and IVV – Alabama MMIS Project.

Project Manager – State of Georgia, Department of Community Health, Managed Care Organization Readiness Assessment and Implementation Dec 2005 – Jul 2007

- Assisted the State of Georgia in the implementation of statewide Managed Care Organization roll-out for Medicaid and CHIP populations. Additionally, provided IV&V and MCO Readiness assessment services. The assessments included (but were not limited to) a review and testing of MCO Claims billing and Encounter generation systems, MCO Member systems and reconciliation processes, PCP assignment as performed by the MCOs, Member MCO selection processing as performed by the Enrollment Broker, Interfaces between the Fiscal agent and each MCO, Third Party Payer coordination, MCO member outreach and education activities, and MCO provider network recruitment, credentialing and maintenance.
- Responsible for the overall project management and client relations for the Managed Care implementation statewide roll-out Quality Review and MCO Readiness Assessment project managed by 4TG. Responsibilities included:
 - Overall management and quality assurance of operational readiness and IT reviews of the MCOs, the Enrollment Broker, the PBM, DCH and ACS (the current MMIS Fiscal Agent), with a focus on the information systems aspect of the implementation; and management of MCO assessment Team staff, activities and deliverables;

- Participated in assessments and specifically system testing for all MCOs and the Fiscal Agent;
- Provided implementation oversight of the governing quality documents and deliverable management;
- Monitored and managed the project risks so that adverse consequences were minimized.

Project Manager – State of Georgia,

Jan 2005 – Nov 2005

- Assisted the State of Georgia in the planning and procurement process for a State-wide Managed Care initiative for Medicaid and S-CHIP populations. Conducted independent assessment of both the MCO and the Enrollment Broker technical bids. Provided quality assurance review on Fiscal Agent deliverables such as MMIS requirements analysis and design documentation. Additionally, provided consultant support to the Georgia Department of Community Health for a new Disease Management Program.

Georgia Dept. of Community Health

Aug 1999 – Dec 2004

Chief Information Officer, Officer of Information Technology

- Served as the Chief Executive for all Information Systems issues for the Georgia Department of Community Health. Successfully worked with the fiscal agent to manage the system changes required to achieve Y2K compliance. Led the DCH testing efforts and implementation efforts for the Pharmacy Benefit Manager transition to Express Scripts Inc. Led the effort to replace the GA MMIS with a modern multi-payer MMIS – involved in all aspects of the procurement cycle.
- Project Director for the implementation of the MMIS. Coordinated certification activities with vendor and CMS. Named by the Centers for Medicare and Medicaid Services (CMS) as a member of the National Medicaid Information Technology Architecture work group to develop standards for the next generation MMIS.

Fox Systems, Inc.

Oct 1993 – Jul 1999

Consultant – Various Clients

- In Florida, responsible for all testing activities associated with the transition from the incumbent fiscal agent to the incoming fiscal agent. Developed overall acceptance testing approach, and specifically the Operational Readiness Test plan. In Georgia, responsible for overall project deliverables and support for the State of Georgia, Department of Medical Assistance during the 1998 attempted procurement of a replacement MMIS. This involved the development of the APD and RFP for the effort, which required conducting requirements gathering sessions and facilitated review sessions of each section of the Draft RFP prior to submission to CMS.

EDUCATION AND PROFESSIONAL CERTIFICATIONS/AFFILIATIONS

B.S., Justice Studies, Arizona State University, 1987

PROFESSIONAL REFERENCES

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|---|---|
| Reference Name | Kathy Ryland, Former Chief of Managed Care; GA Department of Community Health |
| Company Name | GA Department of Community Health |
| Company Mailing Address | GA Department of Community Health 211 Perimeter Ct Pkwy # 800 Atlanta, GA 30346 |
| Phone Number | (770) 845-7454 |
| Email | kathy.ryland@wellcare.com |
| Description of Candidate's professional experience within the last 5 years | Project Manager - Assisted the State of Georgia in the implementation of statewide Managed Care Organization roll-out for Medicaid and CHIP populations. Additionally, provided IV&V and MCO Readiness assessment services. The assessments included (but were not limited to) a review and testing of MCO Claims billing and Encounter generation systems, MCO Member systems and reconciliation processes, PCP assignment as performed by the MCOs, Member MCO selection processing as performed by the Enrollment Broker, Interfaces between the Fiscal agent and each MCO, Third Party Payer coordination, MCO member outreach and education activities, and MCO provider network recruitment, credentialing and maintenance. |

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| Reference Name | Paul Brannan, Former MMIS Coordinator/Privacy Officer, Director of Portfolio Management; Alabama Medicaid Agency |
| Company Name | Alabama Medicaid Agency |
| Company Mailing Address | Alabama Medicaid Agency P.O. Box 5624 Montgomery, AL 36103 |
| Phone Number | (334) 242-5017 |
| Email | paul.brannan@medicaid.alabama.gov |
| Description of Candidate's professional experience within the last 5 years | Client Executive - Managed and directed staff on the day to day tasks as well as created and performed quality assurance (QA) on 4TG Deliverables and Fiscal Agent Deliverables. Provided onsite support during user acceptance testing and implementation cutover and assisted in the preparation for MMIS certification for the Alabama Medicaid QA and IVV – Alabama MMIS Project. |

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| Reference Name | Bonnie Bjork, Project Director, SD MEDX Project; South Dakota Department of Social Services |
| Company Name | South Dakota Department of Social Services |
| Company Mailing Address | South Dakota Department of Social Services 521 E. Sioux Ave Pierre, SD 57501 |
| Phone Number | (605) 773-8164 |
| Email | bonnie.bjork@state.sd.us |
| Description of Candidate's professional experience within the last 5 years | <p>Directed the activities of the 4TG team responsible for producing deliverables for Project Management and Independent Verification and Validation (IV&V) projects in the absence of the Project Manager. Performed IV&V project activities including requirements validation, systems analysis and design, system development activities, data conversion, unit testing, system testing, system acceptance testing, organization transition, and training programs for the South Dakota MMIS Replacement Project.</p> <p>Worked with the State and the MMIS vendor to map all RFP requirements to the CMS certification checklists, identify necessary data required to provide evidence for each checklist criterion, provide suggested State response for each checklist item and work with the testing team to ensure that UAT test cases were developed to demonstrate the systems' ability to meet certification checklist criteria.</p> |

5.3 Financial Statements

The SES financial statements have been provided in digital format as a separate file on the Cost Volume CD submitted with this proposal. This type of submission format was allowed with the provisions of Amendment 3 released by the State.

5.4 Termination, Litigation, and Investigation

SES has had no contracts terminated for convenience, non-performance, non-allocation of funds, or any other reason before completion of contract obligations under set contract provisions.

SES has not been subject to default, nor has received notice of default or failure to perform on a contract.

As related to services similar to this RFP, SES has had no damages, penalties, disincentives assessed, payments withheld, or items of value traded or given up under any existing or past contracts.

SES has no pending or threatened litigation, proceedings, or similar matters related to the subject matter of the services sought in this RFP.

No irregularities or variances have been discovered in any accounts maintained by SES on behalf of others.

Neither SES, nor any of SES's owners, officers, primary partners, staff, or subcontractor owners, officers, primary partners, or staff has a founded child or dependent adult abuse report, nor have these individuals been convicted of a felony.

Attachment - PMOMg

















