STATE OF WASHINGTON
HEALTH CARE AUTHORITY
REQUEST FOR PROPOSALS (RFP)
RFP NO. 2020HCA14 HCA Fraud and Abuse Detection Solution (FADS)

Appendix A: FADS Statement of Work (SOW)

Contractor shall provide the Health Care Authority with the following services and deliverables for a Fraud and Abuse Detection Solution (FADS):

1. Project Management
2. Data Migration, Integration, Configuration and Implementation
3. Testing
4. User and System Documentation
5. Certification Support and Documentation
6. Training
7. Operations and Maintenance

As applicable, Contractor will collaborate and coordinate all the applicable services with multiple contractors and consultants (e.g., quality assurance consultant, project manager) as well as with HCA's project stakeholders as necessary.

1.0 Project Management

Contractor will provide project management services to support HCA's implementation of the FADS. This includes the coordination, tracking and reporting of all necessary activities and resources to successfully complete the project.

Deliverables:

1.1 Initial Project Management Deliverables

Contractor will provide these deliverables within thirty (30) calendar days of the execution of the contract. There will be one payment for these deliverables, invoiced once all deliverables have been completed and accepted by HCA.

1.1.1 Detailed Work Plan
Building upon the Contractor's Work Plan submitted within the Bidder's Proposal, the Plan must further elicit all tasks and activities at a detailed level to accomplish the SOW and deliver the FADS. It should also include the required involvement of HCA resources and the experience and skill level of the staff required.

1.1.2 Detailed Project Schedule

Building on the Contractor's Project Schedule submitted within their Proposal, and at a minimum, this shall include detailed milestones for all of the Contractor's activities and deliverables under this SOW and all expected work by HCA. Once established, the schedule shall not be changed except in writing between HCA's Project Sponsor and the Contractor. The schedule may be imported into HCA's instance of Clarizen for the Contractor to manage.

The Schedule shall include time for HCA and Contractor to discuss and agree upon a Deliverable Expectations Document (See SOW 1.1.5) for each Deliverable, as well as ten (10) business days for HCA to review each Deliverable and provide back a list of items to be fixed for resubmission of the Deliverable and/or Accept the Deliverable.

1.1.3 Resource Management Plan

Describe the resources needed to successfully complete the project and how the resources will be managed.

1.1.4 Project Log

Establish a project log that will track: risks, issues, assumptions, decisions.

1.1.5 Deliverable Expectations Document Template

This template will be used to document the expectations of each deliverable prior to starting work on the deliverable. Contractor and HCA will use it to discuss and confirm items such as: format, content, and approach to completion.

1.1.6 Initial Status Report

At a minimum, this shall include:

- current and last period's status of the work (on track, at risk, critical)
- summary of activity
- accomplishments this period
- upcoming activities
- top issues/questions
- high likelihood/impactful risks and mitigation
- closed/resolved issues/risks
- timeline/schedule with milestones, due date, percent complete and notes and status of each milestone

1.1.7 Change Order Process and Change Order Template

This process and template will be used to document change orders by HCA of the Contractor during DDI.

1.2 Ongoing Project Management Deliverables

Contractor will provide these deliverables on an ongoing basis to HCA. These will not be priced deliverables.

1.2.1 Weekly Status Reports

The weekly status shall provide an update on the same information as listed for the Initial Status Report.

1.2.2 Ongoing Project Log Management

This log will be updated as items are identified. This will be reviewed regularly with the state's project manager.

1.2.3 Deliverable Expectation Documents (DEDs)
DEDs shall be created using the DED Template (SOW Deliverable 1.1.5) for each deliverable under SOW Section 2.0 – 6.0 following the agreed-upon Acceptance Criteria.

2.0 Data Migration, Integration, Configuration, and Implementation

Contractor shall perform the necessary activities to migrate data into, integrate, configure, and implement the FADS to meet HCA's requirements and objectives.

- Plan for and conduct requirements management throughout the life of the project.
- Document the solution design and update the documentation with the end-state solution.
- Plan for and conduct migration, integration, configuration, and implementation of and cut over to Contractor's FADS.
- Prepare a go-live readiness checklist, review with HCA and demonstrate that the items on the list are completed.
- Provide disaster recovery documentation that includes information and procedures to enable the recovery or continuation of the FADS technology and functions.
- Plan for the operations and maintenance of Contractor's FADS, including HCA's and the Contractor's support roles.
- Conduct an Operation Readiness Review that demonstrates the system meets requirements and is ready to move into production.
- Deliver the completed, CMS-certified FADS.

Deliverables:

2.1 Requirements Management Plan
Contractor shall provide its plan for managing the project's requirements and tracking them through the project activities/phases to completion.

2.2 Requirements Traceability Matrix (RTM)
Contractor shall establish the project's initial RTM and actively track each requirement through the project activities/phases, documentation to completion.

2.3 Design Documents – To-Be Build and As-Built
Contractor shall provide the solution's To-Be Build Design Document and the As-Built Design Document when completed with configuration details and changes from the "To-Be Build." The design shall also include architectural diagrams (both technical and data):

- Technical diagrams should include their solution and how it will integrate with HCA's already-existing technology solutions
- Data architecture models should include all three levels, conceptual, logical and physical data models for the solution

2.4 Plans
The following plans should be consolidated into one (1) document for delivery. The plans should be updated, as necessary, throughout the duration of the project.

2.4.1 Implementation and Transition Plan
Contractor must document how the FADS will be deployed, installed, and transitioned to operational status and include the roles and responsibilities for the Contractor and HCA. The plan should include the list of hardware and software to be implemented, as well as security features. It should also contain specifics as to how and when the go/no go decision will be made and the factors on which the decision is made.

2.4.2 Configuration Plan
Contractor must lead HCA through the configuration process for the FADS and document the configuration settings. The plan should include, at a minimum, how Contractor will record, track, control, and audit configuration of the FADS.

2.4.3 Integration Plan
This document should include descriptions of how the FADS will integrate with:

- HCA's Enterprise Data Warehouse (see Section 1.1.15 Current HCA Architecture and FADS Solution Considerations of the RFP for the background)
- HCA's case management system, ServiceNow
- Any other applications the core FADS software will be integrating with, to include GIS or social media services.
- General strategy for integrations with systems not identified in this RFP

2.4.4 Migration Plan
HCA desires to review its current algorithms with Contractor and migrate them into the new FADS.

2.4.5 Cutover Plan
This document should include the cutover schedule, plan for final data migration or conversion and a contingency back-out plan.

2.5 Operational Readiness Checklist
The checklist should include a list of factors that need to be in place and working and the activities that need to be completed in order to allow the FADS to Go-Live and be placed into production.

2.6 Disaster Recovery Plan
The plan should include the approach and execution of processes and procedures to recover the FADS functionality and technology in the case of failures during operations.

2.7 Operations and Maintenance Planning
This deliverable includes the planning documents to prepare for the O&M of the FADS. There will be one (1) payment for these deliverables, invoiced once all deliverables have been completed and accepted by HCA.

2.7.1 O&M Support Plan
The plan will detail:

- the activities and support to be provided by Contractor to meet HCA's requirements, CMS certification requirements and operation levels during the O&M period.
- the work to be completed by HCA.
- staffing and resource levels the Contractor will supply to successfully support O&M, including:
    - a single point of contact to call for all problem resolution for the solution.

2.7.2 O&M Schedule
The O&M schedule will detail the start and end dates of the O&M activities and due dates for all O&M Deliverables (SOW Section 7.0.)

2.7.3 O&M Procedures Manual
This document will, at a minimum, detail processes and procedures

- to accomplish necessary O&M activities conducted by both the Contractor and HCA
- for problem resolution and exception handling that will be approved by HCA

2.8 Operational Readiness Review and FADS Go-Live

Contractor will conduct an Operational Readiness Review using the Operational Readiness Checklist demonstrating at a minimum that the:

- solution meets HCA's requirements (Appendix A)
- solution meets CMS Certification Requirements, Outcomes (as demonstrated via a completed and accepted SOW Deliverable 5.1)
- plans and documents are accepted (SOW Deliverables 2.1 – 2.6)
- solution has exited testing (as described in SOW 3.0) and training deliverables accepted (Deliverables under SOW 3.0)
- user and system documentation have been delivered and accepted (Deliverables under SOW 4.0)
- training has been completed and deliverables accepted (Deliverables under SOW 6.0)
- O&M planning is completed and deliverable accepted (Deliverable 2.7)

Upon HCA acceptance that the FADS has passed the Operational Readiness Review, the FADS may Go-Live and be placed into production.

3.0 Testing

Contractor will provide testing services for the FADS. There will be one payment for these deliverables invoiced once all deliverables have been completed and accepted by HCA.

Testing services include activities required to test and validate the system, data, and integration with all components. This also includes the development of user stories and/or test cases that will support unit, functional, integration, and User Acceptance Testing (UAT) of FADS. It is expected that Contractor will support UAT, but that this phase of testing will be completed by HCA. UAT support will include providing sample user stories and/or test cases, as well as resolution for identified defects found during testing.

The following acceptance criteria for entering and exiting each phase of testing should be assumed:

Entrance Criteria

- An environment has been defined and configured for testing
- Applicable software/tools have been loaded to the test environment
- Test data is available to fully support testing
- Testers are available to begin testing and a kick-off meeting conducted
- High and medium defects from previous testing are resolved and a plan in place for low defects

Exit Criteria

- All planned user stories or test cases have been executed and results verified
- Ad-hoc testing was successfully conducted by testers
- Identified interface partners have participated in testing
- Appropriate test data was successfully included
- High and medium defects are resolved and a plan in place for any low defects

Deliverables:

3.1 Master Test Plan
This document shall describe in detail how Contractor will address each relevant requirement and manage testing across multiple test level.

3.2 Test Environment(s)
Contractor shall provide a system environment in which to perform testing.

3.3 Test Cases, Test Scripts and/or User Stories
Develop user stories and/or test cases that will support unit, functional, integration, and User Acceptance Testing (UAT) of FADS.

3.4 Defect Logging and Tracking
All defects shall be logged and tracked to resolution using Contractor's own logging and tracking system.

3.5 Test Results Report(s)
Test results reports will be provided on a regular basis as mutually agreed upon to HCA throughout the testing process.

3.6 Updated Requirements Traceability Matrix
The RTM shall be updated to document and confirm all relevant requirements have passed the exit criteria for testing.

4.0 User and System Documentation

HCA requires Contractor to develop, maintain, store, print, and distribute FADS documentation which includes: User Manuals, System Documentation, and Data Dictionary. There will be one payment for these deliverables invoiced once all deliverables have been completed and accepted by HCA.

4.1 User Manual

The User Manual shall be delivered as part of the entrance criteria to UAT. The User Manual will also be provided in electronic form and available online.

4.2 System Documentation

The System Documentation will be produced in hardcopy (5 copies) as well as electronic format and delivered prior to final acceptance of FADS.

The System Documentation will be updated by Contractor to reflect system changes and delivered in hard copy (5 copies) as well as electronic format. Updated documentation will be provided to HCA prior to final acceptance of any changes.

4.3 Data Dictionary

Contractor must provide a complete online browser-based Data Dictionary that is accessible to all users. The Data Dictionary is to include definitions of all data elements and references. The data dictionary will be developed by the contractor and made available to users as part of the entrance criteria to UAT.

4.4 Algorithm Library
The contractor shall provide documentation with information on the FADS algorithms.

5.0 Certification Support and Documentation

Contractor will be required to support multiple certification/review processes. These include the Washington State Office of Cyber Security's (OCS) security design review, the CMS Operational Readiness Review and the CMS Certification Review processes. Contractor will provide documentation

and demonstrations showing that the FADS meets the CMS certification requirements, outcomes and measures prior to the Operational Readiness Review (SOW Deliverable 2.8) and post Go-Live to support the successful CMS certification of the FADS. Deliverables 5.1 and 5.2 are not priced deliverables.

Deliverables:

5.1. Washington State Office of Cyber Security (OCS) Security Design Review Documentation

Contractor will produce artifacts, provide documentation, and provide support throughout the OCS Security Design Review process (see Appendix F, OCIO Policy 141.10 para 1.2.1). Documentation may also be requested supporting any subsequent amendments or renewals of the initial review. This may include, but is not limited to:

- Conceptual, logical, and physical diagrams; and
- Policies, procedures, or standards.

5.2 Evaluation Criteria and Conditions for Enhanced Funding – CMS Operational Readiness Review

Contractor will produce artifacts and provide a system demonstration prior to the Operational Readiness Review (SOW Deliverable 2.8) that demonstrate that the FADS meets the expected CMS Certification requirements, outcomes, and measures. This may include, but is not limited to:

- A series of system demonstrations
- Documentation which may include, but is not limited to:
    - Data;
    - Documents;
    - automated test results;
    - screenshots; and
    - other reports and/or artifacts produced in coordination with the HCA UAT cycle to support the CMS “Operational Readiness Review” as part of certification.

5.3 Evaluation Criteria and Conditions for Enhanced Funding –CMS Certification Review

Post Go-Live of the FADS in production, Contractor will begin Year 1 of the operations and maintenance of the solution. Additionally, Contractor will produce artifacts that demonstrate that the FADS meets the CMS Certification requirements, outcomes, and measures. Contractor will be required to perform this service until the FADS meets these requirements, outcomes, and measures continuously for six (6) months, and HCA submits the certification documentation to CMS to review for certification. This may include, but is not limited to:

- a collection of data
- documents
- information provided as evidence, which includes but is not limited to:
    - samples of production data
    - substantive and representative sets of reports (including performance) and any other information or data in order to validate business outcomes and applicable metrics related to Outcome Based Certification needs.

Contractor will participate in any certification reviews conducted by HCA and/or CMS.

Once the FADS has been certified by CMS and continues to meet HCA requirements without major issues, HCA will Accept the FADS CMS Certification deliverable, and Contractor may bill for this (SOW Deliverable 5.3.)

Note that a portion of this O&M period has cost implications and is discussed in the RFP under RFP Section 1.9 CMS Certification of the FADS and CMS Warranty Period.

6.0 Training

Contractor will provide training services to support HCA's implementation of FADS. HCA also requires Contractor to provide formal knowledge transfer and training sessions on the components and processes needed to fully support fraud, waste and abuse detection, as well as the administration and operations of FADS. Tutorials will be available in their final form as part of the entrance criteria to UAT. These training sessions should be designed to include:

- Basic Training – A maximum of two hundred (200) individuals
- Advanced Training – A maximum of twenty-four (24) individuals
- Administration and Operations – A maximum of five (5) individuals

Deliverables:

6.1 Training Plan
The plan shall at a minimum describe the various ways how training will be delivered, a list of lessons with lesson objectives and specific activities.

6.2 Training Environment(s)
Contractor shall provide a system environment in which to perform FADS training.

6.3 Training Materials
Contractor will produce and provide all necessary materials to conduct training.

6.4 Training Sessions
Contractor shall provide a variety of training approaches to meet a variety of learning needs. This potentially includes train-the-trainer, online tutorials, in-person and/or online live classroom instructions and other training that will assist the user in learning FADS. The schedule of training shall be included in the overall project schedule.

6.5 Training Summary Report
At the conclusion of all training sessions, Contractor shall provide a report summarizing the training sessions delivered and the attendees of each training.

7.0 Operation and Maintenance (O&M)

Beginning at HCA's Acceptance of the FADS Go-Live, Contractor shall perform O&M services, including operations and updates, patches, and repairs to the FADS in the production, test, and all other Washington accessible environments as well as troubleshooting with HCA and correction (including development, testing, training, and implementation) of any deficiency or problem with the solution. O&M services and deliverables shall be performed in a timely, efficient, and high-quality manner.

The deliverables and services below will be accounted for in the annual O&M cost. *Note that a portion of the Year 1 O&M period has cost implications and are discussed in the RFP under RFP Section 1.9 CMS Certification of the FADS and CMS Warranty Period.*

Deliverables

7.1 O&M Annual Business Plan
The O&M Annual Business Plan shall include, but not be limited to, the following elements centered around HCA:

- roadmap or outline of major activities planned for the coming year
- business improvement objectives and outcomes for the coming year

- methodology for performing activities and meeting objectives
- methods for measuring customer service performance
- methods for identifying where customer services performance is inadequate
- approach for developing and implementing corrective actions.

The O&M Annual Business Plan shall be delivered within 7 calendar days of first day of each new O&M Year.

7.2 Updated O&M Support Plan, Schedule, and Procedures Manual
Beginning with Year 2, Contractor shall within 7 calendar days of the first day of each new O&M Year provide updated O&M Support Plan, Schedule, and Procedures Manual, originally produced under SOW 2.7.

7.3 Software Updates
Contractor shall provide and support software updates to the FADS (including bug-fixes, updates and upgrades). This includes any functional updates for modules licensed or used by HCA.

7.4 Change Orders(s)
Contractor shall provide and support a mutually-agreed upon change order process, including roles and responsibilities, for HCA to request changes to the FADS. Additionally, when Contractor plans on making changes to the FADS, including updates, Contractor should follow a formal, mutually agreed-upon change process.

7.5 Evaluation Criteria and Conditions for Enhanced Funding – Ongoing Operations
After certification by CMS, the Contractor shall regularly produce artifacts that demonstrate that the FADS continuously meets the CMS Certification Requirements, Outcomes and Measures on an ongoing basis. This may include, but is not limited to:

- a collection of data
- documents
- information provided as evidence, which includes but is not limited to:
  - samples of production data
  - substantive and representative sets of reports (including performance) and any other information or data in order to validate business outcomes and applicable metrics related to Outcome Based Certification needs.

7.6 Incident Management and Resolution
Contractor shall support incident management and resolution, including a “Help-Desk” process for HCA to follow when reporting incidents that provides:

- a single point of contact to contact for all problem resolution for the FADS.
- documentation of the root cause of the problem.

7.7 Updates to User and System Documentation
The User Manual, Data Dictionary, System Documentation, Algorithm Library and any other User or System Documentation created for the solution, in all delivered formats, will be kept current with changes and updates to the FADS.

7.8 Training Services
Contractor shall provide training to new users on the solution and to current users on updates and changes to the system functions and technical operations and architecture.

7.9 Solution Performance Monitoring and Reporting Services
Contractor shall provide performance monitoring of the FADS and report out regularly on various aspects of the Solution (see RFP Attachment E). The information included in each of these and any other necessary report will be mutually agreed-upon by the HCA and the Contractor.

7.10 Monthly Contractor Performance Reports

The report shall describe how the Contractor is adhering to the Annual Business Plan. Where the contractor is not adhering, provide an approach for developing and implementing corrective actions.

7.11 Weekly Status Reports and Meetings

The Contractor shall meet regularly with HCA to report out on the status of O&M, including but not limited to:

- Open, Resolved Issues
- Enhancement Activities, Milestones and Backlog

7.12 Disaster Recovery Plan Updates, Testing and Testing Results

7.12.1 Updated Disaster Recovery Plan

The Contractor shall update the Disaster Recovery Plan to reflect any changes and/or enhancements to the solution. The Plan shall be updated within 45 days of major changes and enhancements but no less than annually to ensure the plan is consistent with the current software, technology, and best practices.

7.12.2 Disaster Recovery Plan Testing

The Contractor shall perform Disaster Recovery Plan testing for each updated Disaster Recovery Plan, but no less than annually.

7.12.3 Disaster Recovery Plan Testing Results

The Contractor shall provide a report detailing the results of each Disaster Recovery Plan testing.

7.13 Transition

7.13.1 Transition Plan

Upon a written request from HCA during the eighteen (18) months prior to the end of the then-current term of the Agreement, the Contractor must submit to HCA a Transition Plan. The Transition Plan must be submitted to HCA within 60 calendar days of the receipt of the request.

The Transition Plan must delineate the steps necessary to transition to either the State or a successor FADS contractor. It must be a comprehensive Deliverable that includes, but is not limited to, the proposed schedule, activities, key staff, roles and responsibilities, and resource requirements associated with the transition tasks. This will also include return or destruction of any and all data held by the Contractor's Solution and signed documentation of destruction. The Contractor will be expected to work cooperatively with the State or a successor FADS contractor to produce the Transition Plan Deliverable and tasks.

7.13.2 Transition Results Report

After HCA Acceptance of the Transition Plan, Contractor must cooperate and collaborate with the State and any successor FADS contractor to implement the Transition Plan and to eliminate or mitigate any negative impacts of the transition process.

Within 30 days from the date of the Transition, Contractor must provide HCA with a Transition Results Report documenting the completion and results of each step of the Transition Plan. Transition will not be considered complete until this document receives Acceptance from HCA.