Request for Proposals (RFP)

RFP #C043776

New York State Department of Health
Converged Eligibility and Enrollment (E&E) System and Appeals Management System (AMS)

Issued: October 29, 2026

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1.0 PURPOSE OF THE REQUEST FOR PROPOSALS

Over the last thirteen (13) years, the New York State (NYS) Department of Health (Department) and Centers for Medicare & Medicaid Services (CMS) have made a significant investment in Department owned modern technology solutions and architecture to support the eligibility and enrollment (E&E) of Medicaid, Child Health Plus (CHPlus), Basic Health Program (BHP), and Qualified Health Plan (QHP) Populations.

Through this RFP, the Department seeks competitive proposals from qualified Bidders to provide services to maintain and operate the Department's modern technology investment, as well as, expand the Department's technology solutions to create a Converged E&E System for the health insurance programs the Department administers, including related functions, as further detailed in **Section 5.0 – Scope of Work**. The Department intends to award one (1) Contract through this procurement. For purposes of this RFP, "Bidders" refers to vendors responding to this RFP.

The selected Bidder must provide services to support the Department in performing the following activities:

- Maintenance and Operations (M&O) of the Medicaid Eligibility and Client Management (MECM) System and the Appeals Management System (AMS)
- Improvements to the MECM System and the AMS
- Incorporation of NY State of Health (NYSOH) System functionality into the MECM System to create a Converged E&E System for Medicaid, CHPlus, BHP, and QHPs, providing a single, seamless E&E experience for consumers under the current "NYSOH" branding

During the first year of the Contract, the selected Bidder will perform Transition-In activities to support M&O of the MECM System and the AMS. In parallel, over the first two (2) years of the Contract, the selected Bidder will begin implementing the functionality necessary to retire the NYSOH System into the MECM System to create the Converged E&E System, which will use "NYSOH" branding. The selected Bidder will support the Department in M&O and improvements to the Converged E&E System and the AMS through a seven (7)-year Contract term.

1.1 Background

The Department is embarking on an enterprise-wide Medicaid Enterprise System (MES) modernization to transform service delivery, enhance operational efficiencies, and improve health outcomes for all New Yorkers. This initiative directly supports the Department's strategic priorities of improving access to quality care, promoting cost-effectiveness, advancing data-driven decision-making, and fostering a patient-centric health care ecosystem.

The modernization started in 2010 with the enactment of the federal Patient Protection and Affordable Care Act (PPACA) of 2010 (hereafter referred to as the Affordable Care Act [ACA]), requiring states to provide accessible, consumer-centric systems for health care. The ACA propelled the movement toward a statewide platform that facilitates eligibility, enrollment, and benefits management for health insurance. In October 2013, the Department implemented the NYSOH System to facilitate the enrollment of new Modified Adjusted Gross Income (MAGI) Medicaid, CHPlus, and QHP applicants for coverage beginning January 1, 2014. Beginning in April 2015, the NYSOH System also supported the BHP. MAGI groups within the NYSOH System are populations that utilize the ACA-established MAGI methodology to determine eligibility for Medicaid, CHPlus, BHP, Advance Premium Tax Credits (APTC) and Cost-Sharing Reductions (CSR) for QHPs.

The Department continued its modernization efforts through the design, development, and implementation (DDI) of a system to support the E&E of Complex Medicaid Populations. Complex Medicaid Populations comprise Non-MAGI Medicaid Populations and some MAGI-like populations. Non-MAGI refers to any Medicaid-related applicants that do not require MAGI eligibility methodology as part of the determination process. MAGI Medicaid Populations that fall under the Complex Medicaid Populations umbrella include, at a minimum, Presumptive Eligibility (PE) for Pregnant Consumers, PE for Family Planning Benefit Program (FPBP), FPBP, and Medicaid Cancer Treatment Programs (MCTPs). Refer to **Section 3.3.2 – Medicaid Eligibility and Client Management System** for a full list of the Complex Populations.

In September 2025, the Department implemented the MECM System and AMS to comply with the needs and requirements of the State's Complex Medicaid Populations and initiate the migration of the initially identified populations. The implementation of the MECM System and AMS supports the Department's strategic plan to optimize MES infrastructure, including enhancing information technology (IT) resources and enabling access to affordable, high-quality health services for all New Yorkers.

The Department and CMS have made a significant investment in the MECM System and continue to modernize the MECM System as it implements technical enhancements in the near term. The Department will continue to expand the MECM System functionality through this procurement.

For more information about the Department's current MES, refer to **Section 3.3 – Current Systems Overview**.

1.2 Eligibility and Enrollment Modernization

Through digital transformation and process modernization, the Department aims to improve the consumer and workforce experience for eligibility, processing, and administration of all health insurance programs. The Department supports the following programmatic objectives:

- **Consumer Centricity** – Personalized, human-centric, and compassionate support that helps consumers understand, receive, pay for, and make informed decisions about how they access health care services, built on a foundation of health equity
- **Centralized Model** – Creation of a single converged system that utilizes a modular approach for E&E processing
- **Increased Efficiency** – Continued prioritization of modern digital systems that allow State employees and Frontline Workers to spend more time meeting consumer needs by reducing time spent on administrative tasks
- **Modernized Infrastructure** – Deployment of a modular, cloud-native infrastructure and platform established for hosting modern systems and available for future Department IT projects
- **Modern Technology** – Deployment of a cloud-based technical solution that enables advanced analytics and automated activities
- **Simple and Direct Future Proofing** – Delivery of a future-proofed system designed for continuous evolution, allowing for individual component upgrades without requiring a comprehensive system overhaul, with a clear, supported roadmap for future modernization and technological evolution
- **Trusted Security Standards** – Implementation of secure system processing of all health insurance program populations, including high levels of data privacy and protection

As part of this procurement, the Contractor must align their efforts in performing the Scope of Work (SOW) (as described in **Section 5.0 – Scope of Work**) with the Department's previously listed goals and objectives. It is also expected that the Contractor provide insights and recommendations to help the Department achieve and expand on these goals and objectives.

2.0 CALENDAR OF EVENTS

The events relevant to this Request for Proposals (RFP) are planned to occur on the dates and times indicated in **Table 1**. Dates and times are subject to change at the Department's discretion.

Table 1 – Calendar of Events

Event	Date
Issuance of RFP	October 29, 2026
Deadline for Submission of Letter of Intent to Bid	November 13, 2026, at 4:00 p.m. ET
Deadline to Register for the Systems Demonstration	November 13, 2026, at 4:00 p.m. ET
Systems Demonstration	November 30, 2026, at a time to be determined
Deadline for Submission of Written Questions	Questions due by December 21, 2026 at 4:00 p.m. ET
Responses to Written Questions Posted by the Department	Responses posted on or about January 19, 2027
Deadline for Submission of Proposals	Proposals due on or before February 19, 2027, at 4:00 p.m. ET
Anticipated Bidder Interviews	Start on or about March 30, 2027
Anticipated Contract Start Date	On or before July 1, 2028

2.1 Letter of Intent to Bid

Bidders may submit a Letter of Intent to Bid by the date specified in **Section 2.0 – Calendar of Events**. Not submitting a Letter of Intent to Bid does not preclude a Bidder from submitting a proposal. However, to participate in the Systems Demonstration and Review of Select Technical Components ("Systems Demo and Review"), Bidders must submit a Letter of Intent to Bid using **Attachment H – Letter of Intent to Bid**.

2.2 Systems Demonstration

Bidders that wish to participate in the Systems Demo and Review must submit a Letter of Intent to Bid using **Attachment H – Letter of Intent to Bid**. Only Bidders that submit a Letter of Intent to Bid will receive an invitation with additional details and the opportunity to register for the Systems Demo and Review.

The Systems Demo and Review will be held in person only. During the session, Bidders will meet with Department personnel and receive an overview and/or demonstration of the NY State of Health (NYSOH) System, Medicaid Eligibility and Client Management (MECM) System and the Appeals Management System (AMS). Other relevant technical documentation may also be presented. All attendees must sign a nondisclosure agreement (NDA) prior to participating in the Systems Demo and Review. Any questions emerging from the Systems Demo and Review must be submitted in writing to the Department by the deadline specified in **Section 2.0 – Calendar of Events**.

The Systems Demo and Review will be held in person at a location in the general Albany, New York (NY) area, as determined by the Department. Each Bidder may bring up to three (3) attendees. The Department will provide additional details to participating Bidders. Bidders assume and accept sole responsibility for all travel expenses associated with attendance.

Bidders who do not attend the Systems Demo and Review may still submit proposals.

3.0 OVERVIEW

This section provides an overview of the Department, its stakeholders, and its systems as they will operate at the time of Contractor onboarding.

3.1 Department Overview

The Department is the principal NYS agency responsible for safeguarding and promoting the health of all New Yorkers. It oversees a wide array of public health initiatives, regulatory functions, and the administration of health coverage programs. The Department works to secure access to affordable and high-quality health care, manage disease prevention and control efforts, regulate health care facilities and professionals, and promote community health and wellness across the State.

Through its leadership, the Department is committed to the health equity goal of achieving the highest level of health for all New Yorkers. In 2022, the State formalized the definitions of health inequities, health disparities, and social determinants of health (SDH) into NY Public Health Law. In 2024, the release of the Department's Health Equity Plan expanded the statutory definition of health equity to indicate that everyone has a fair and just opportunity to be healthy. The Department aims to strengthen health equity through focused efforts to address avoidable inequalities for those who have experienced injustices, socioeconomic disadvantages, and systemic disadvantages. More information is provided on the Department's website.

As of July 2026, NYS provides health insurance to more than eight million five hundred thousand (8,500,000) members across various insurance programs with a total expenditure of over one hundred billion dollars ($100,000,000,000) annually. While NY's existing enrollment and claims processing systems are aging, the Department's current business operations and technology systems have proven successful in paying providers and managed care organizations (MCOs) while delivering Medicaid and other forms of health insurance to a significant population eligible for critical health care services.

The Department administers the Medicaid Program in conjunction with the fifty-eight (58) Local Departments of Social Services (LDSS) and other NYS agencies, including the following:

- Office of Temporary and Disability Assistance (OTDA)
- Office of Children and Family Services (OCFS)
- Office of the Medicaid Inspector General (OMIG)
- Office of the Attorney General (OAG)
- Office of Mental Health (OMH)
- Office for People With Developmental Disabilities (OPWDD)
- Office of Addiction Services and Supports (OASAS)
- Office of the State Comptroller (OSC)

The Department's administration of the Medicaid Program is subject to oversight from CMS. CMS requires that states use Medicaid Information Technology Architecture (MITA) goals and objectives, including the conditions specified in 42 Code of Federal Regulations (CFR) § 433.112. More information is provided on the Medicaid.gov website.

3.1.1 Office of Health Insurance Programs

The Department's Office of Health Insurance Programs (OHIP) is responsible for administering the following:

- Medicaid program
- Child Health Plus (CHPlus) program
- Medical Indemnity Fund (MIF)

- Elderly Pharmaceutical Insurance Coverage (EPIC) program
- Health care financing programs, including the following:
  - Disproportionate Share Hospital (DSH) program
  - Health Care Reform Act (HCRA)

OHIP, under the leadership of the Medicaid Director, also oversees the following divisions relevant to this RFP.

3.1.1.1 Division of Eligibility and Marketplace Integration

The OHIP Division of Eligibility and Marketplace Integration (DEMI) serves as the authority responsible for administering and coordinating the State's health coverage eligibility processes and marketplace operations. This division is responsible for E&E policy and operations for Medicaid, and CHPlus, and coordinates implementation with NYSOH Office for individuals eligible for tax credits and cost-sharing reductions for qualified health plans (QHPs) and the Basic Health Program (BHP), branded as the "Essential Plan" in NY. It is also responsible for disability determinations related to Medicaid eligibility and third-party coverage claims, liens, and recoveries. The division oversees a robust Customer Service Center that assists consumers in obtaining coverage, as well as thousands of community-based Assistors who provide in-person assistance.

DEMI is currently responsible for ensuring the correct eligibility determinations for nearly four and a half (4.5) million people across all programs, increasing to seven (7) million when State takeover is complete. The Division has bureaus in Albany, Buffalo, and New York City, and conducts functions related to eligibility policy; providing support for consumers enrolling through NYSOH System; ensuring that policy correct eligibility determinations, enrollment transactions, and legally required notices are generated for consumers; conducting reviews to ensure eligibility determinations are made in accordance with federal and State rules and regulations; and oversight of the Navigator and Certified Application Counselor (CAC) programs, including the provision of training to approximately six thousand (6,000) Assistors.

The NYSOH System should not be confused with the NYSOH Bureau, a business unit under the Division of Operations and Systems (DOS) that oversees the NYSOH System, nor should it be confused with the NYSOH Office (refer to **Section 3.1.2 –NY State of Health**). This system supports real-time eligibility (RTE) determinations and enrollment for Medicaid, CHPlus, BHP, and QHPs.

DEMI includes the State Disability Review Unit (SDRU), which administers disability determinations for the NYS Medicaid Program. DEMI works with the DOS to maintain comprehensive integration with federal and State entities. Such integration supports accurate data exchange and compliance with all regulatory mandates.

3.1.1.2 Division of Operations and Systems

The NY DOS is responsible for the oversight of information systems that support OHIP initiatives, the NYS health insurance marketplace, and the NYS Medicaid program. These systems assist with eligibility determinations and enrollment for programs such as Medicaid, CHPlus, BHPs, and QHPs. These initiatives and systems comprise, at a minimum, the NYSOH System, MECM System, AMS, Electronic Medicaid System of New York (eMedNY), and Medicaid Data Warehouse (MDW). DOS duties encompass oversight of the design, development, testing, implementation, and maintenance and operations (M&O) of enhancements to these systems. In parallel, DOS duties include the following:

- Maintenance of privacy, security, and compliance across OHIP systems
- Coordination, reporting, and communications with CMS

DOS and DEMI partner in executing and implementing E&E initiatives. For the NYSOH System, MECM System, and the AMS, DOS receives contractual deliverables from the system integrators and oversees the following:

- Systems DDI
- Quality assurance (QA)
- Service Level Agreement (SLA) compliance

3.1.1.3 Division of the Chief Technology Office

The Chief Technology Office (CTO) is responsible for all facets of enterprise architecture, including information architecture and technical architecture. This also involves technical procurement strategy for NYS MES including supporting the creation and management of Advanced Planning Documents (APDs).

With a broad view into OHIP's technical solutions and business needs, the CTO is a key enabler in identifying, procuring, and owning the technologies necessary to support the current and future needs of the Medicaid program.

3.1.1.4 Division of Health Plan Contracting and Oversight

The Division of Health Plan Contracting and Oversight (DHPCO) plays a key role in regulating the managed care industry within the State of New York. Its responsibilities include purchasing health insurance for the Medicaid Program and managing the contracting process with health plans. DHPCO carries out the following activities:

- Certifies that all MCOs comply with State and federal policies
- Monitors the financial viability of both government and commercial health plans
- Oversees mergers, acquisitions, and other major transactions within the industry

The division also reviews and approves provider and management contracts, administers managed long-term care (MLTC) plans, and operates the Department's Managed Care Complaint Line. Provider and management contract review and approval fall under DHPCO's purview. This division serves as the Department's liaison to all health plans.

3.1.2 NY State of Health

The NYSOH Office within the Department serves as the central hub for the administration, oversight, and ongoing improvement of health and dental coverage programs offered through the State's official health plan marketplace and is authorized under the federal Patient Protection and Affordable Care Act (PPACA) of 2010 (hereafter referred to as the Affordable Care Act [ACA]) and the NY Public Health Law. The office is responsible for providing New Yorkers with access to affordable, high-quality health insurance options, including BHPs and QHPs. NYSOH is where consumers in New York can access federal premium tax credits and cost-sharing reductions. The office is also responsible for all BHP and QHP policy. Through its leadership, the office coordinates the integration of E&E systems, such as the NYSOH System, and facilitates collaboration among key divisions, including DEMI and DOS. The NYSOH Office also plays a key role in evaluating small business eligibility for federal tax credits, supporting access and affordability for employers and employees.

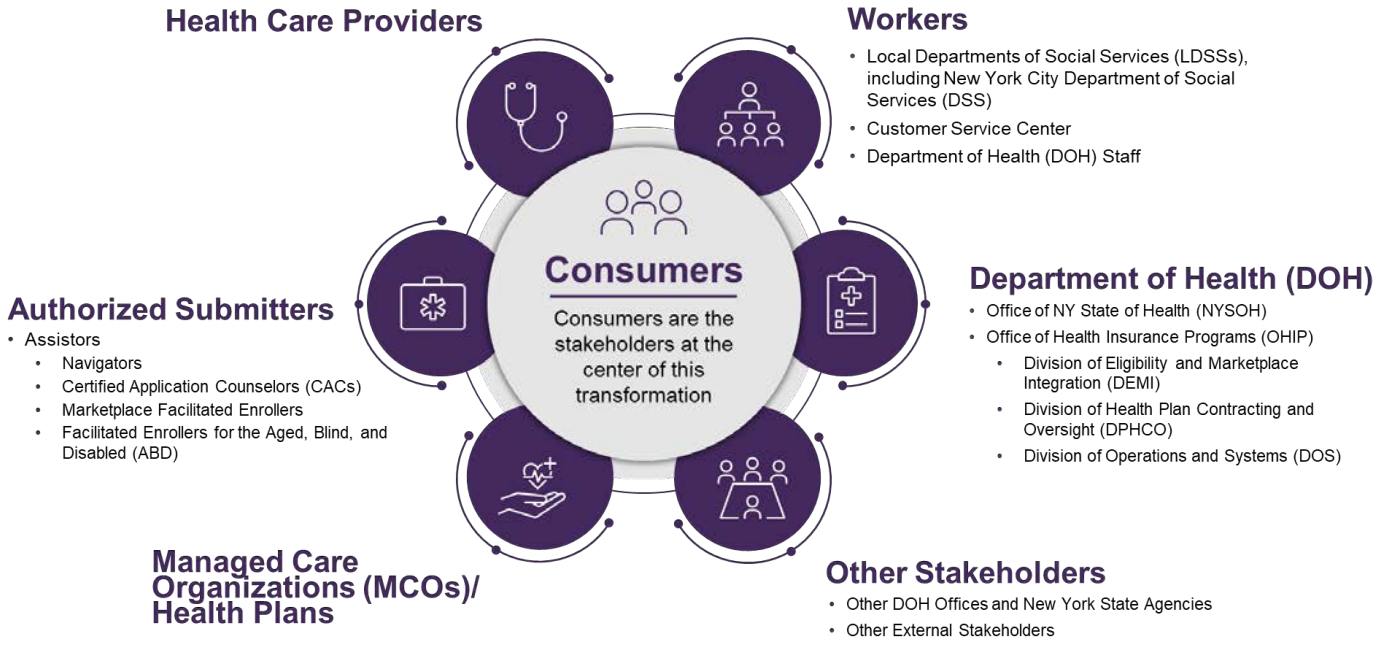
The NY State of Health Appeals Unit within the NYSOH Office is the primary user of the AMS for Medicaid and other health insurance programs administered by the Department. The unit manages eligibility appeals requests and tracks the status of cases from scheduling through the issuance of decisions.

The NYSOH Office works closely with DEMI, DOS, and State and federal agencies to support accurate data exchanges, comply with regulatory requirements, and implement consumer-focused features.

3.2 New York State Eligibility and Enrollment Stakeholders

There are numerous stakeholders within NYS relevant to E&E. These stakeholders include, at a minimum, those presented in **Figure 1**.

Figure 1 – NYS E&E Stakeholders



3.2.1 Consumers

Consumers are at the center of health insurance programs. They, along with their authorized representatives, may apply for insurance directly through the NYSOH System or the MECM System. Consumers may also apply telephonically through the Customer Service Center, which helps individuals obtain coverage, or through community-based Assistors who provide in-person and telephonic assistance. A consumer seeking to apply for insurance is referred to as an applicant, while a consumer who is enrolled and receiving benefits is referred to as a member. Consumers may apply for insurance with or without financial assistance.

The NYSOH System and the MECM System allow consumers to do the following:

- Apply for health insurance
- View coverage details
- View, compare, select, and change health plans
- Renew or reapply for coverage
- Report changes
- Add, change, and remove authorized representatives and Assistors
- Receive notices
- Upload documents
- Manage case profiles

Currently, while the portals for the NYSOH System and the MECM System have cohesive branding, they are technically separate.

3.2.2 Authorized Submitters

Authorized submitters, such as Assistors, provide enrollment assistance to individuals and families applying for insurance through the NYSOH System and the MECM System. Assistors include the following:

- Navigators
- Marketplace Facilitated Enrollers (FEs)
- CACs
- FEs for the Aged, Blind, and Disabled (FE-ABD)

These Assistors provide both in-person and telephonic assistance and are employed by agencies including health plans, federally qualified health centers (FQHCs), hospitals, and community-based organizations (CBOs). LDSS staff may also choose to serve as Assistors.

The Assistor Portal provides access to the NYSOH System and the MECM System, allowing Assistors to do the following on behalf of consumers:

- Apply for health insurance
- View coverage details
- View, compare, select, and change health plans
- Renew or reapply for coverage
- Report changes
- Add, change, and remove authorized representatives
- Receive notices
- Upload documents
- Manage case profiles for consumers

3.2.3 Workers

Workers, including Department staff, LDSS employees, and Customer Service Center workers, access the NYSOH System and the MECM System to process health insurance applications submitted through multiple channels and support eligibility determinations for program benefits. Customer Service Center workers assist applicants who submit applications online or apply over the phone. As federal requirements for community engagement evolve, Customer Service Center call volume could exceed 600,000 (six hundred thousand) calls per month during the Contract term. These workers are also responsible for verifying eligibility factors by reviewing consumer-submitted documentation and manually processing verifications when automated verifications cannot be completed by the system. Customer Service Center staff also process consumer appeal requests.

3.2.3.1 Workers in NY State of Health System

Customer Service Center workers and Department staff access the NYSOH System through the Customer Service Representative and Back Office screens. LDSS workers do not currently access the NYSOH System. Depending on their user roles, workers are able to assist consumers with the following:

- Applying for health insurance
- Verifying coverage details
- Verifying, selecting, and changing health plans
- Renewing or reapplying for coverage
- Reporting changes
- Adding, changing, and removing authorized representatives and Assistors

- Reviewing notices
- Uploading documents
- Managing account information

3.2.3.2 Workers in the Medicaid Eligibility and Client Management System

Customer Service Center workers and Department staff access the MECM System through both the Member Portal and the Worker Portal. LDSS workers only access the MECM System through the Worker Portal. Similar to the NYSOH System, depending on user role workers are able to assist consumers with the following:

- Applying for coverage
- Verifying coverage details
- Verifying, selecting, and changing health plans
- Renewing or reapplying for coverage
- Reporting changes
- Adding, changing, or removing authorized representatives and Assistors
- Reviewing notices
- Uploading documents
- Managing case profiles

3.2.3.3 Workers in the Appeals Management System

Customer Service Center workers and Department staff access the AMS directly. Depending on user role, workers use the AMS to process the entire life cycle of an appeal for cases in the NYSOH System and the MECM System. Depending on the user role, workers are able to use the AMS to do the following:

- Review appeal cases
- Schedule hearings
- Enter appeal decisions
- Draft notices

3.2.4 Health Care Providers

Health care providers are licensed entities or individuals, such as doctors, nurses, hospitals, clinics, and other medical professionals, who offer medical and health-related services to patients. These providers facilitate access to health care for individuals, supporting efforts to improve health outcomes. Some providers also make referrals to community partners or have onsite Assistors who help applicants apply for Medicaid, CHPlus, BHP, and QHPs.

3.2.5 Managed Care Organizations and Health Plans

MCOs and health plans provide or arrange for health services through a health insurance plan or health care system. These organizations manage the cost, utilization, and quality of health care by coordinating a member’s care through a single plan. MCOs and health plans offer a range of services to enrolled members, including preventive care and management of chronic conditions. They help streamline care delivery, support health outcomes, promote efficient use of resources, and help their members receive coordinated care. MCOs and health plans also provide application assistance through the Marketplace FE Program.

3.2.6 Other Stakeholders

The subsequent sections describe other stakeholders beyond consumers, authorized submitters, workers, health care providers, MCOs, and health plans.

3.2.6.1 Other Department Offices and New York State Agencies

The NYSOH Office and OHIP work with a wide range of stakeholders, including other offices and divisions within the Department and other NYS agencies. Collaboration with these agencies supports efforts to provide consumers with appropriate and effective services. Partner agencies include the following:

- Department of Financial Services (DFS)
- Department of Corrections and Community Supervision (DOCCS)
- Office of Aging and Long-Term Care (OALTC)
- Office of Health Services Quality and Analytics (OHSQA)
- Office of Public Health (OPH)
- Office of Primary Care and Health Systems Management (OPCHSM)
- Office of Health Equity and Human Rights (OHEHR)
- Department of Motor Vehicles (DMV)
- Department of State
- Division of Budget (DOB)/Statewide Financial System (SFS)
- NYS Division of Criminal Justice Services (DCJS)
- NYS Education Department (NYSED)
- Office of Information Technology Services (ITS)
- OASAS
- OAG
- OCFS
- OMIG
- OMH
- OPWDD
- OSC
- OTDA

3.2.6.2 Other External Stakeholders

In addition to State agencies and offices, other external stakeholders include federal and local agencies, such as the following:

- CMS
- LDSS
- Social Security Administration (SSA)
- Internal Revenue Service (IRS)
- New York City (NYC) Human Resources Administration (HRA)
- NYC Administration for Children’s Services (ACS)
- NYC Department of Correction (DOC)
- NYC Department of Health and Mental Hygiene (DOHMH)

The Department and the Contractor may identify additional stakeholders not listed in this section that are relevant to executing the scope of work (SOW) in this RFP.

3.3 Current Systems Overview

The current enterprise is composed of the following key systems:

- eMedNY
- MDW
- NYSOH
- MECM
- AMS

The current systems reside on multiple technology platforms with numerous contractors assisting major components. These systems support E&E, claims processing, and reporting and have undergone multiple enhancements to add new functionality, maintain technology currency, and address consumer needs. Other MES include the Uniform Assessment System for New York (UAS-NY), All-Payer Claims Database (APCD), and Statewide Health Information Network for New York (SHIN-NY). These systems are overseen and managed by NYS in collaboration with external vendors to maintain efficient and interoperable MES operations.

3.3.1 NY State of Health System

The NYSOH System is the official health plan marketplace of NYS and is authorized under the ACA and the NY Public Health Law. The U.S. Department Health and Human Services (HHS) required states to establish a Health Benefits Exchange by 2014. The NYSOH System is currently maintained by CSRA State and Local Solutions LLC, a division of General Dynamics Information Technology (GDIT).

The NYSOH System is a web-based platform that enrolls applicants in the following programs:

- Medicaid
- CHPlus
- BHP, known as the Essential Plan
- QHPs with Advance Premium Tax Credits (APTCs)
- QHPs with APTCs and Cost-Sharing Reductions (CSRs)
- QHPs without APTCs

Each program has its own set of rules regarding eligibility, enrollment, and administration.

Eligibility is determined by using a Modified Adjusted Gross Income (MAGI) methodology. The NYSOH System provides New Yorkers with access to health insurance plan options and supports determination of eligibility for financial assistance under the ACA. The NYSOH System is utilized by more than one (1) in three (3) New Yorkers across the state. It provides eligible consumers, including individuals and small businesses, with a one-stop resource for health insurance needs. Through streamlined business processes and access to relevant plan information, the NYSOH System supports informed decision-making regarding coverage options.

From the inception of the NYSOH System through June 2026, nearly two hundred fifty million (250,000,000) eligibility determinations have been processed. In the final year of that period, ten million (10,000,000) eligibility determinations were processed through the NYSOH System. During that year, daily eligibility determinations ranged from fewer than two hundred (200) to more than four hundred eighty thousand (480,000), with an average of seventy-eight thousand one hundred fifteen (78,115) per day.

Table 2 provides enrollment counts by program supported in the NYSOH System as of July 31, 2026.

Table 2 – Individual Enrollment Counts by NYSOH Program Type, as of July 31, 2026.

Program Type	Individuals Enrolled
Medicaid	4,347,306
CHPlus	533,088
QHP APTC with Cost-Sharing Reduction (CSR)	142,402
QHP APTC without CSR	12,767
QHP Full Pay	114,892
BHP	1,360,479
Total	**6,510,934**

The NYSOH System determines eligibility in real time and facilitates enrollment into coverage through data exchange with the IRS, CMS, and the State's core Medicaid Management Information System (MMIS). The majority of eligibility determinations are completed in near real time. **Table 3** provides the share of eligibility determinations determined within twenty-four (24) hours from May 2025 to May 2026.

Table 3 – Percent of NYSOH System Eligibility Determinations Made within 24 Hours

Program Type	Total Individual Determinations	Percent Determined within 24 Hours
Medicaid	3,833,144	97.43%
CHPlus	556,262	98.71%
QHP APTC with CSR	160,138	99.97%
QHP APTC without CSR	5,410	99.93%
QHP Full Pay	432,072	99.93%
BHP	1,676,688	76.43%
Ineligible (with Financial Assistance)	82,955	99.77%
Ineligible (without Financial Assistance)	1,955	95.29%
Total	**6,748,624**	**92.57%**

Additionally, in the year leading up to June 2026, the NYSOH System transmitted an average of two hundred fourteen thousand two hundred fifty-three (214,253) Benefit Enrollment and Maintenance (834) transactions per day. During that period, daily transaction volumes ranged from eight hundred fifty-two (852) to more than two million three hundred thousand (2,300,000).

System functionality includes an anonymous shopping option that allows consumers to compare medical and dental coverage for individuals, estimate financial assistance based on income, and access provider lookup tools. The NYSOH System also supports determination of small business eligibility for federal tax credits.

3.3.1.1 NYSOH Core Application System

The NYSOH System consists of the following subsystems:

- Plan Management
- Small Business Marketplace (SBM)
- Customer Service
- Oversight

- Individual Marketplace – E&E
- Information Security

3.3.1.2 System Architecture Design

The NYSOH System uses a modular, flexible approach to system development. Business rules are implemented using Drools, an open-source Business Rules Engine (BRE). The eligibility engine is built around a consumer-facing portal. Data sources and automated processes are used wherever possible to minimize manual intervention.

The system also uses Contentstack for web content management, Apache Chemistry OpenCMIS for document management, and Twilio for communications. The system uses a Service-Oriented Architecture (SOA) where appropriate. The system uses Spring Hibernate for data access and the Spring Application framework for application development.

To the extent possible, the NYSOH System leverages and reuses Medicaid technologies and systems from other states. Code from an hCentive product is used to support system functionality and user experience (UX) integration. The NYSOH System also uses a PeopleSoft commercial off-the-shelf (COTS) product with NYSOH System-specific configurations and customizations.

The NYSOH System includes built-in transaction and data auditing capabilities. Reporting and business analytics capabilities are also included.

The system uses the MuleSoft Anypoint Platform as the integration layer to provide application programming interfaces (APIs) supporting integration between internal modules and external agencies, partners, and third-party vendors. It also uses IBM DataStage for extract, transform, and load (ETL) processing and Electronic Data Interchange (EDI) X12 for communication with issuers and eMedNY. The Spring Batch framework is used to support batch processes such as notice generation.

The NYSOH System is event-driven, responding to user interactions through portals, scheduled batch jobs, and external system calls using Simple Object Access Protocol (SOAP) services.

The NYSOH System is implemented as a service-based architecture using the Spring Hibernate framework as a core platform, supporting the hCentive product.

The following subsections describe COTS products and basic software design patterns used by the NYSOH System.

A. Spring Model-View-Controller Framework

The web portals provided by the NYSOH System are built on the Spring Model-View-Controller (MVC) framework. In this framework, a user's browser interacts with a Spring MVC Dispatcher Servlet, which manages Hypertext Transfer Protocol (HTTP) requests. The servlet uses a filter chain to invoke a series of Spring filters that evaluate each request from a security and access control perspective.

B. Single Page Application

The NYSOH System customer service representative phone application is built using a Single Page Application (SPA) architecture based on Angular, rather than MVC. Angular is an application development framework and platform used to build SPA applications.

Angular provides tools that enable developers to create application view templates, functional components, and services that implement business logic. When SPA applications require data from backend databases,

other applications, or external data sources, they send requests directly from the user's browser to backend Representational State Transfer (REST) services to retrieve the required data.

C. Database Access

The NYSOH System uses two design patterns for database access: Spring Mybatis and Spring Hibernate. The Spring Mybatis framework is used within the Hibernate-based application that underpins the NYSOH System. It defines relationships between Java classes used as data structures and database tables, along with queries that can be executed against the database.

More recent NYSOH System enhancements to database access have been implemented using the Spring Object-Relational Mapping (ORM) framework.

D. Message-Oriented Middleware Pattern

IBM WebSphere Messaging Queue (MQ) implements Message-Oriented Middleware (MOM), enabling applications running on different platforms to exchange messages without concern for differences in network, platform, or programming language.

Some NYSOH System interfaces use asynchronous data exchange. This approach decouples systems and supports reliable delivery of data. When using File Transfer Protocol (FTP), various factors may prevent data from reaching its destination, even if the sending application receives a successful transfer notification.

MOM technologies remove the need for synchronous communication between systems. Once data is passed to the MOM layer, delivery is assured. If the receiving system is temporarily unavailable, the sending system can continue transmitting data which is delivered when the destination system becomes available.

E. Java Application Programming Interface for Extensible Markup Language Web Services

These are stand-alone web services used internally within the NYSOH System. They use the Java API for Extensible Markup Language (XML) Web Services (JAX-WS), which provides a standard framework for implementing web services. These services support abstraction between system components within the NYSOH System.

F. XStream

XStream is a library for converting Java classes to and from XML structures. Mapping between Java class attributes and XML element names is defined using the @XStreamAlias annotation in the Java source file. This annotation can be applied at both the class level and the individual attribute level.

G. Activiti Pattern

Activiti is an open-source workflow engine written in Java that executes business processes described in Business Process Model and Notation (BPMN) 2.0. Activiti is the foundation for Alfresco Process Services (APS). The product is a suite of applications that work together, including the following:

- **Modeler** – Web-based graphical workflow authoring interface
- **Designer** – Eclipse plug-in for developing workflows
- **Engine** – Core workflow processor
- **Explorer** – Web tool to deploy process definitions, start process instances, and manage workflow tasks
- **Cycle** – Web application supporting collaboration between business users and software engineers

H. Alfresco Process Services Pattern

APS, powered by Activiti, is an enterprise Business Process Management (BPM) platform used to implement business processes, including those supporting Life Status Change (LSC) processes for customer service representatives.

I. IBM DataStage Extract, Transform, Load Pattern

The NYSOH System receives data from multiple sources, processes it, and delivers it to multiple consumption endpoints. The ETL process supports accurate transformation and timely availability of data. ETL processing is performed using IBM DataStage and QualityStage, with individual jobs executed in a predefined sequence based on the load requirements using a master sequencer job.

ETL requirements are driven by the need to exchange data among interfacing systems. These systems exchange bi-directional data for specific business purposes, and ETL processing supports both inbound and outbound data flows.

The inbound flow validates the files received from external systems, transforms the data, and loads it into the NYSOH System database. The outbound flow extracts data from the NYSOH System database and transmits it in predefined formats to external agencies. The ETL solution maps source data to target structures to support downstream consumption.

Refer to **Exhibit G.02 – NYSOH System Design Document (SDD)** for additional information on the NYSOH System architecture.

3.3.2 Medicaid Eligibility and Client Management System

The MECM System is the E&E system for Complex Medicaid Populations in NYS. CMS and NYS have made a significant investment implementing a modern technology platform to migrate populations from legacy E&E systems to the MECM System. The MECM System will be the “target system” on which the Converged E&E System will be built.

Table 4 provides population counts for each program supported in the MECM System as of [6/30/2026].

Table 4 – Population Counts by MECM Program Type

Program Type	Population
Community Coverage Without Long-Term Care (LTC)	103,762
Medicare Savings Program (MSP) Only	170,791
Family Planning Benefit Program (FPBP)	768
Presumptive Eligibility (PE) for FPBP	1,156
PE for Pregnant Consumers	121
Medicaid Buy-In for Working People with Disabilities (MBI-WPD)	9,616
Medicaid Cancer Treatment Program (MCTP) – Breast and Cervical (MCTP-BC)	471
MCTP – Colorectal and Prostate (MCTP-CP)	28
Medicaid Excess Income Program	73,168
Foster Care (including assignment of Medical Assistance [MA] on discharge other than discharge to Kinship Guardian Assistance Program [KinGAP] and Adoption Assistance)	17,782
Community Coverage with Community-Based LTC	211,038

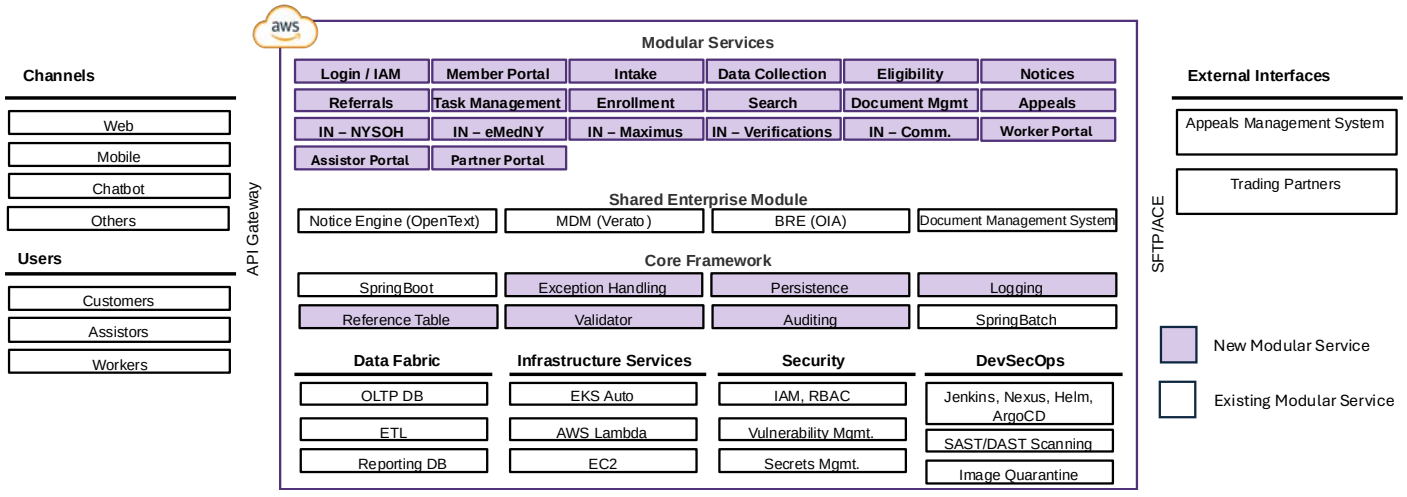
Program Type	Population
Waiver Program – 1915c Children's Waiver	6,051
Waiver Program – 1915c Nursing Home Transition and Diversion Waiver	11,840
Waiver Program – 1915c OPWDD Home and Community-Based Services (HCBS) Waiver	142,783
Waiver Program – 1915c Traumatic Brain Injury (TBI) Waiver	3,287
1115 Waiver Authority –MLTC Program	376,459
KinGAP + Adoption Assistance Program	12,917
Medicaid Due to Supplemental Security Income (SSI)	552,287
Medicaid Continuation Program for Those Who Lose SSI or State Supplementary Payment (SSP)	12,022
Incarcerated Population	15,880
Nursing Home Care	79,652
OMH Population	8,044
OPWDD Population Receiving Medicaid Due to Institutional Care	4,946
Medically Needy/Aid to Dependent Children (ADC)-Related	45,217
Acquired Immunodeficiency Syndrome (AIDS) Health Insurance Program	13
NYS Consolidated Omnibus Budget Reconciliation Act (COBRA) Continuation Program	0
MSP – Qualified Disabled and Working Individuals (QDWI)	0
Off-Track Betting (OTB) Program	502
PE for Nursing Home Care	0
Refugee MA Program	0
Total	**1,842,819**

The MECM System is currently maintained by Deloitte LLP (referred to as the "Incumbent Contractor").

3.3.2.1 Medicaid Eligibility and Client Management System Cloud-Native Architecture

By the time the Contractor onboards, the Department will have adapted the MECM System to a cloud-native and microservices architecture. **Figure 2** shows the architecture for the cloud-native services.

Figure 2 – MECM Cloud-Native Architecture



For additional details, including descriptions of each of the modular services, refer to **Exhibit G.15 – MECM System Cloud Native Architecture and Initial Implementation Roadmap**.

3.3.2.2 Medicaid Eligibility and Client Management System Technical Architecture

The MECM System Technical Architecture is based on technical components and source code from the Tennessee Eligibility Determination System (TEDS). The MECM System is designed using modern modular architecture and hosted on an Amazon Web Services (AWS) GovCloud platform as well as a Google Cloud Platform (GCP). These platforms are designed to meet regulated infrastructure requirements for managing sensitive data and aligning with National Institute of Standards and Technology (NIST) Special Publication (SP) 800-53 ("NIST-800-53") security controls. MECM System components are fully integrated with the AWS and GCP platforms.

Additional information regarding MECM System's architecture is available in **Exhibit G.13 – MECM System Architecture Design Document (SADD)**.

Exhibit G.04 – MECM System Functional Topology Diagram presents the topology diagram for the MECM System.

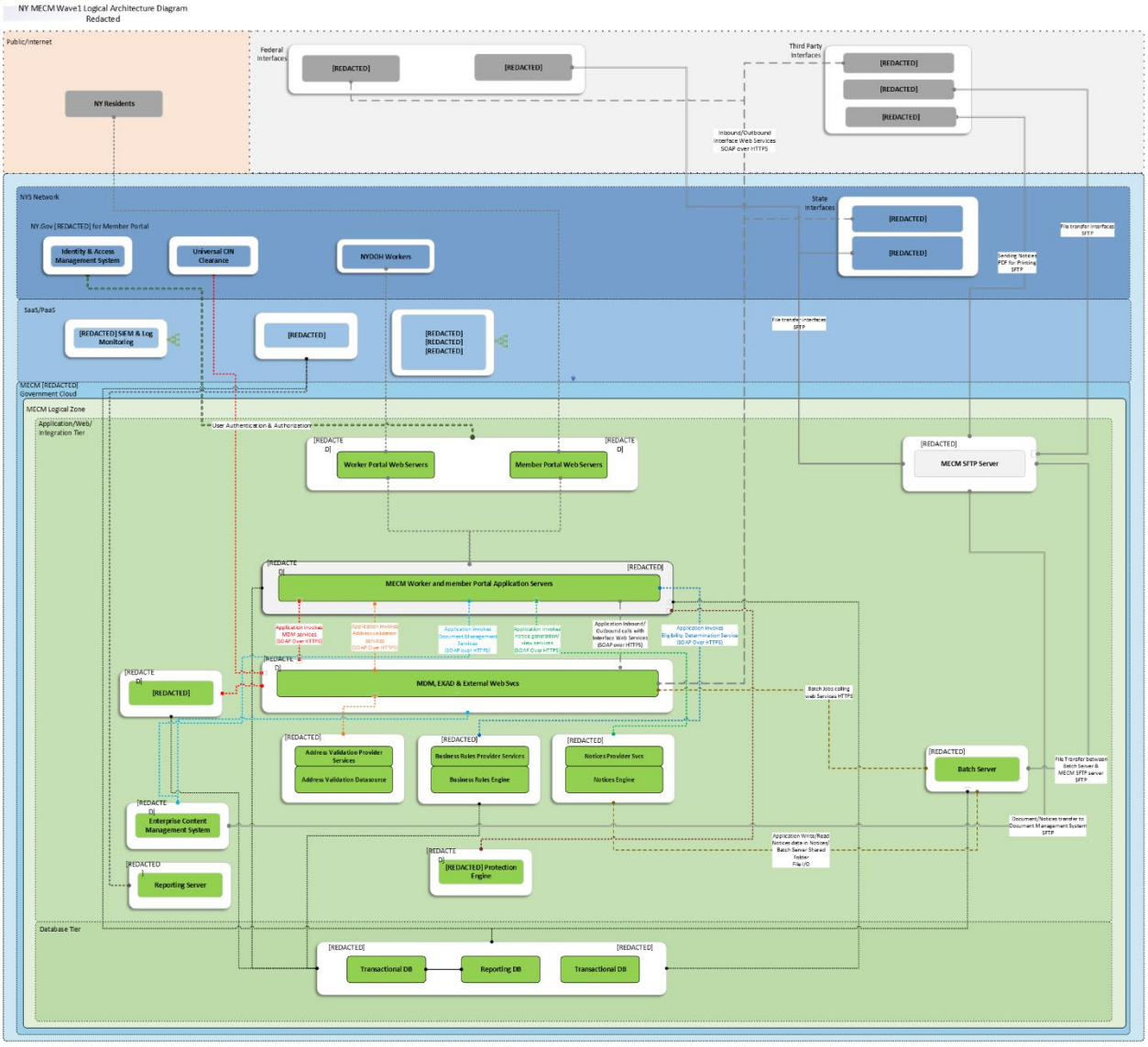
3.3.2.3 Technology Stack

The MECM System technology stack presented in **Exhibit G.07 – MECM System Technology Stack** includes programming languages, frameworks, databases, third-party services, COTS software, and libraries on which the MECM System relies. It is expected that the Contractor will continue to use these technologies.

3.3.2.4 Logical Architecture

Figure 3 presents the MECM System Logical Architecture, including its key software components, low-level communications, and data flows between functional elements in the application and database tiers within the AWS infrastructure. The diagram also describes the interactions between the MECM System stack and external end points, such as federal interfaces, third-party interfaces, and Department interfaces. **Figure 3** is also available in **Exhibit G.05 – MECM System Logical Architecture**.

Figure 3 – MECM System Logical Architecture



The MECM System uses N-tier architecture, also known as layered architecture, to apply the Separation of Concerns (SoC) design principle by organizing code into distinct layers. N-tier architecture supports system maintainability, scalability, modularity, and reusability. This architecture complies with federal and State regulatory requirements, including the CMS Acceptable Risk Controls for ACA, Medicaid, and Partner Entities (ARC-AMPE) and IRS 1075 Rev 11-2021 or the most current applicable version.

The MECM System logical zone is comprised of web, application, integration, and data layers hosted on the AWS GovCloud platform. These layers address presentation, business, integration, and persistence logic, respectively. They are described as follows:

- **Web layer** – Follows standards set forth by the Americans with Disabilities Act (ADA) and Web Content Accessibility Guideline (WCAG)
- **Application layer** – Implements business logic by interacting with database and back-end services
- **Integration layer** – Uses ESB for web services and Secure File Transfer Protocol (SFTP) for file transfer
- **Data layer** – Stores and retrieves successful business transactions performed by users in the MECM System database, which serves as the single source of truth for transaction, analytics, and audit data

The MECM System uses cloud-based SaaS and Platform as a Service (PaaS) solutions to support back-end services, including monitoring and reporting.

3.3.2.5 Physical Architecture

Within the MECM System, client requests are routed through AWS Route Fifty-Three (53) and protected by a Web Application Firewall (WAF). These requests reach the Angular JavaScript-based analytics layer hosted on AWS CloudFront edge servers and supported by AWS Simple Storage Service (S3) storage for resilience.

The system architecture (SA) consists of Java-based business logic components built as microservices and containerized within AWS Elastic Kubernetes Service (EKS) for scalability. AWS Relational Database Services (RDS) PostgreSQL is used for the Member Portal and Oracle is used for the Work Portal. Stand-alone services, such as Experian Address Validation, OpenText Exstream, Oracle Intelligent Advisor (OIA), and Tableau, are shared services.

The Amazon API Gateway facilitates internal service calls, while external communication is handled through the IBM App Connect Enterprise (ACE). AWS services, including ElastiCache, Redis, CloudWatch, Simple Notification Service (SNS), Amazon Certificate Manager, Key Management Service (KMS), AWS X-Ray, and CloudTrail, support technology monitoring and security management.

Additional details on the physical architecture can be found in **Exhibit G.06 – MECM System Physical Architecture**. Bidders will be able to review the MECM System Physical Architecture during the Systems Demonstration and Review. As noted in **Section 2.1 – Letter of Intent to Bid** and **Section 2.2 – Systems Demonstration**. Bidders who submit a Letter of Intent to Bid by the date specified in **Section 2.0 – Calendar of Events** will be able to attend the Systems Demonstration and Review.

The MECM System environments are listed in **Table 5**.

Table 5 – MECM System Environments

Function	Account	Env. Name	Purpose
Integration Testing (DEV)	DEV	DEV1	Development Environment for Hotfix Releases
		DEV2	Development Environment for Ongoing M&O Releases
		SIT1	System Integration Testing (SIT) Environment for Hotfix Releases
		SIT2	SIT Environment for Ongoing M&O Releases
Data Conversion (DC)	STG	SIT3	SIT with Trading Partners
		UAT1	End-to-End (E2E) User Acceptance Testing (UAT)
		SITC	Integration Testing of Data Conversion Processes
		PRDP	Emergency Release Environment to Test Patches

Function	Account	Env. Name	Purpose
Training	EXT	TRNDEV	Training for State Workers
		TRNDL1	Training Delivery for State Team
		TRNDL2	Training Delivery for Maximus Team
Pre- Production	NPRD	PERF	Performance Testing
		PRDT	Production Triage and Problem Analysis
Production	PRD	DR	Failover Environment During Disaster Recovery (DR)
		PROD	Production Environment for Worker and Member Portals
Development	DEV	DEV3	Development
		DEV4	Development
Integration Testing (Dev)		SIT5	SIT
		SIT6	SIT
Staging	STG	SIT4	SIT with Trading Partner Integration
		UAT2	E2E UAT
Development	DEV	DEV-W2_1	Development
		DEV-W2_2	Development
		DEV-TI	Development
Integration Testing		SIT-W2_1	SIT
		SIT-W2_2	SIT
		SIT-TI	SIT
DC and Staging	STG	SIT7	SIT with Trading Partners
		UATW2	E2E UAT
		SITC1	Integration Testing of Data Conversion Processes
Training	EXT	TRNDL3	Training Delivery for the State Team
		TRNDL4	Training Delivery for Maximus Team
Development	DEV	DEV-W3_1	Development
Integration Testing		SIT-W3_1	SIT
Integration Testing & DC	STG	SITC2	Integration Testing of Data Conversion Processes

A. Production Environment (Primary/Standard Region)

High Availability (HA) for the MECM System Production Environment is implemented across GovCloud East 1a (Availability Zone 1 [AZ1]) and GovCloud East 1b (AZ2). For the purposes of this RFP, “Primary region” refers to GovCloud East.

COTS products, such as IBM WebSphere Application Server (WAS), are configured for HA across the AZs in the east region. For example, IBM WAS is clustered across the AZs in the east region and therefore services traffic across both AZs.

Oracle and PostgreSQL databases use an active-standby architecture across the AZs in the east region as follows:

- The database in AZ1 is active and processes traffic from application tiers in both AZ1 and AZ2.
- The database in AZ2 is in standby mode for HA and localized fault tolerance.
- In the event of a failover, the standby database in AZ2 becomes active in the same Standard region.

The Worker Portal and Member Portal interact with COTS products, such as OIA for eligibility determination and OpenText Exstream for correspondence notice generation.

B. Disaster Recovery Environment (GovCloud West 1)

The DR Environment for the MECM System Release 1 Production Environment resides in the GovCloud West 1 region in AWS. The DR architecture was upgraded from the current pilot-lite model to a warm-standby DR strategy. This upgrade was completed prior to Wave 2.0. This updated architecture will be used on an ongoing basis.

Under the warm-standby model, DR infrastructure is sized at fifty percent (50%) of the Primary region production capacity across compute, storage, network throughput, and associated licensing. The database tier is an exception and is provisioned at full capacity equivalent to the Primary region production database tier to preserve data integrity, replication fidelity, and rapid recoverability. During an actual failover event, DR is expected to initially operate at fifty percent (50%) capacity and then scale up based on the duration and nature of the outage, subject to the Department's approval. The transition to warm-standby is expected to reduce (improve) the Recovery Point Objective (RPO) and Recovery Time Objective (RTO) targets relative to the prior pilot-lite model. Final RTO/RPO values will be confirmed by the Department as part of the upgrade.

C. Disaster Recovery Patching, Upgrades, and Operational Posture

Monthly patching and system upgrades are required in the DR environment following successful patching or upgrades in the Primary region Production Environment to maintain configuration parity between Primary and DR. DR infrastructure is not continuously running. It is brought up to apply monthly patches and system upgrades and is shut down upon successful completion of those activities. This posture supports parity with Primary while controlling steady-state operational costs. The Incumbent Contractor is responsible for planning, executing, validating, and documenting the monthly DR patch/upgrade cycle in coordination with the Primary region change management process, and for ensuring DR remains capable of meeting the updated RTO/RPO targets at all times.

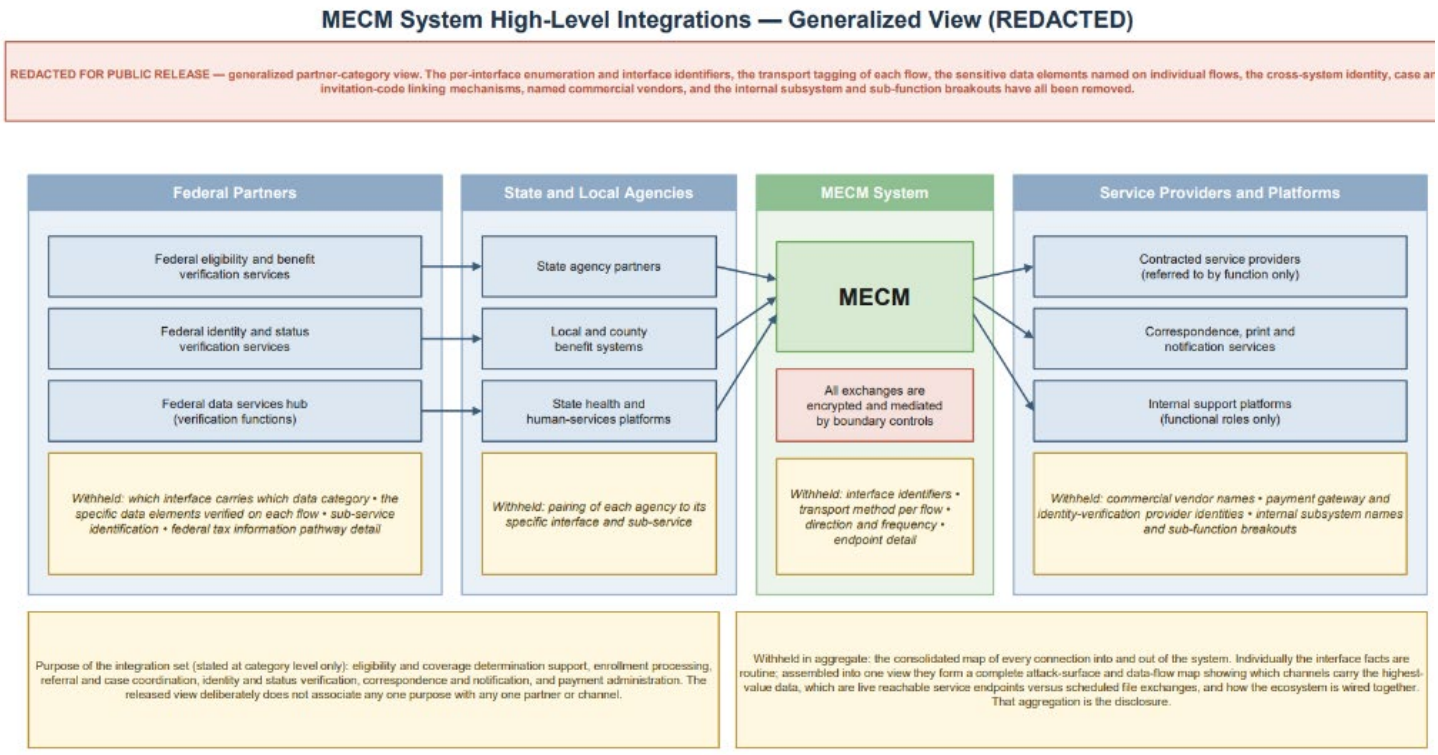
Exhibit G.10 – MECM System Bill of Materials (BOM) provides a cloud BOM for the AWS and GCP services as well as a software BOM components for the MECM System.

The MECM System Physical Architecture described within this RFP represents the expected state of the MECM System when the Contractor onboards.

3.3.2.6 High-Level Integrations Diagram

The Department has developed key interfaces that connect to the MECM System's production site. The high-level integrations presented in **Figure 4** represent the interfaces between the MECM System and other entities for nonfinancial, financial, referral, enrollment, clearance, and communication interactions. As the Department's integration services are implemented, some of these interfaces may be rerouted using these services. **Figure 4** is also available in **Exhibit G.08 – MECM System High-Level Integrations Diagram**.

Figure 4 – MECM System Integrations Diagram



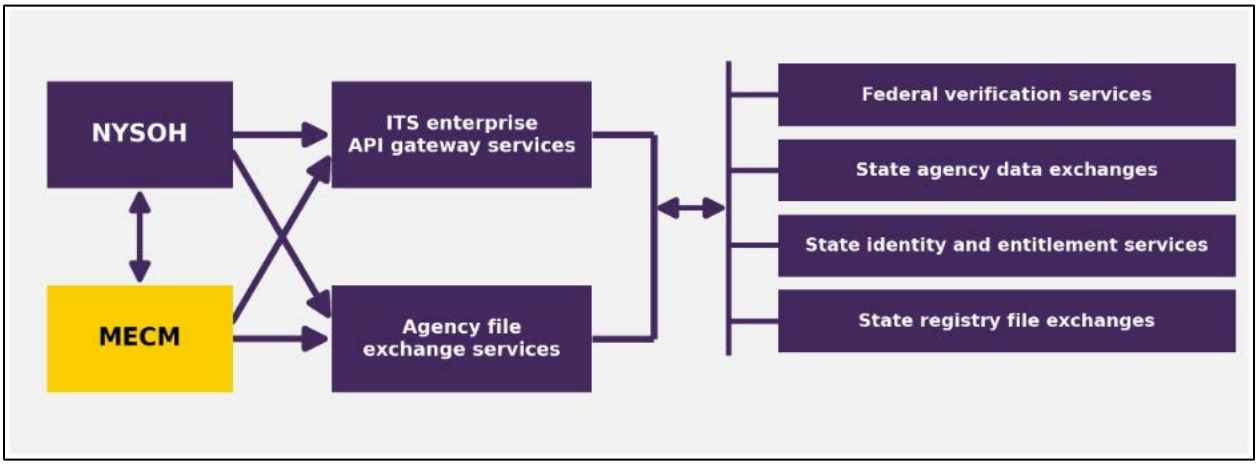
For the additional details of each interface, refer to **Exhibit G.25 – Converged E&E System and AMS Interfaces**.

3.3.2.7 Shared Services Provided by NYS Office of Information Technology Services

Several of the MECM System's interfaces rely on shared services hosted by ITS. ITS provides technology support for NYS agencies and hosts shared services that allow access to various State and federal systems. Additionally, ITS has been designated by SSA as a State Transmission/Transfer Component (STC) to serve as a conduit between SSA and NYS agencies. In alignment with ITS standards, the services hosted by ITS are based on SOAP, REST, and HTTP protocols, using the ITS Akana API Gateway platform and ITS Managed File Transfer (MFT) services.

Figure 5 presents a high-level illustration of the shared service exchanges, including interchanges between the NYSOH System and the MECM System that support consolidation or splitting of shared data exchanged with ITS. **Figure 5** is also available in **Exhibit G.09 – MECM System ITS Shared Services**.

Figure 5 – ITS Shared Service Interfaces Required by the MECM System



3.3.2.8 Master Data Management Strategy

At the time of publishing this RFP, the Department is implementing a modernized master data management (MDM) strategy within the MECM System to establish a single source of truth for health insurance consumers across the enterprise. This strategy supports the Department's goal of enabling a three hundred sixty (360)-degree view of health consumers to support a seamless, no-wrong-door consumer experience.

The MECM System currently leverages IBM InfoSphere MDM as a COTS solution for CIN Clearance (CIN Clearance may not be the specific process or terminology used once the Welfare Management System [WMS] is retired and will be referred to generically as "Clearance" throughout the RFP, with CINs referred to as "Clearance Numbers"). The Department is currently planning a transition (target timeline 2027) to a modernized data architecture, currently conceptualized around the Verato MDM platform integrated with Snowflake, or a functionally equivalent cloud-native solution. This planned architecture is intended to support enhanced identity resolution, cross-system member identification, and improved data governance capabilities.

A. Health Member ID

Central to the modernized MDM strategy is the introduction of the Health Member ID (HMID), a business-facing identifier that serves two (2) critical functions within the MECM SA.

A.1 Business-Facing Identifier

The HMID provides the Department with a human-readable, business-facing identifier that is distinct from the Verato Link ID, which is not suitable for operational use across source systems.

A.2 Source System Authority Retention

The HMID allows individual source systems (e.g., the MECM System, the NYSOH System, eMedNY) to retain authority over changes to the member identifier assigned to an individual within their respective systems. When Verato auto-link functionality merges previously distinct identity records, the underlying Link ID may change without approval from the source system. The HMID mitigates the impact of these changes by providing a stable, one-to-one identity mapping that source systems can independently manage and approve.

B. Verato Identity Resolution Platform

Verato serves as the core identity resolution engine within the MDM architecture. Verato ingests member records from multiple source systems and applies probabilistic and deterministic matching algorithms to resolve identities across systems. When a new record is ingested, Verato assigns the record to an existing identity cluster through a Link ID or creates a new identity record.

Verato's auto-link functionality continuously evaluates incoming records and may consolidate previously distinct identities when sufficient matching evidence is achieved. Use of the HMID prevents these automated linkages from disrupting source system operations or requiring immediate source system approval for changes managed within Verato.

C. Snowflake Master Data Management Service

The Snowflake MDM Service operates as the orchestration layer between Verato and the source systems integrated with the MDM solution. The Snowflake MDM Service is responsible for the functions listed in **Table 6**.

Table 6 – Snowflake MDM Functions

Function	Description
API Orchestration	Manages API orchestration and translation between Verato and source systems, including post, update, search, and delete operations
Batch Loading	Supports bulk ingestion of member records from source systems into the MDM platform
HMID Generation and Storage	Generates, assigns, and stores HMIDs and manages related task generation for source system review and approval
Data Sharing	Facilitates data sharing between the Snowflake MDM Service and Verato to maintain synchronized identity records across the enterprise

D. Health Member ID Implementation Roadmap

Implementation of the HMID is planned across two (2) phases, as listed in **Table 7**.

Table 7 – HMID Implementation Phases

Phase	Scope	Key Aspects
Short-Term (Post December 2026)	MECM System Integration	Adds the HMID to the MECM System data model and integrates the HMID into the member clearance process flow and does not use or store the HMID in the NYSOH System during this phase
Long-Term (Phase 2)	Cross-System Enterprise Identifier	Maintains the HMID across source systems that fully integrate with the MDM solution, uses the HMID as a cross-system member identifier with Verato as the authoritative source of truth, and classifies source systems as either Live Integration or Registry systems based on their level of MDM integration

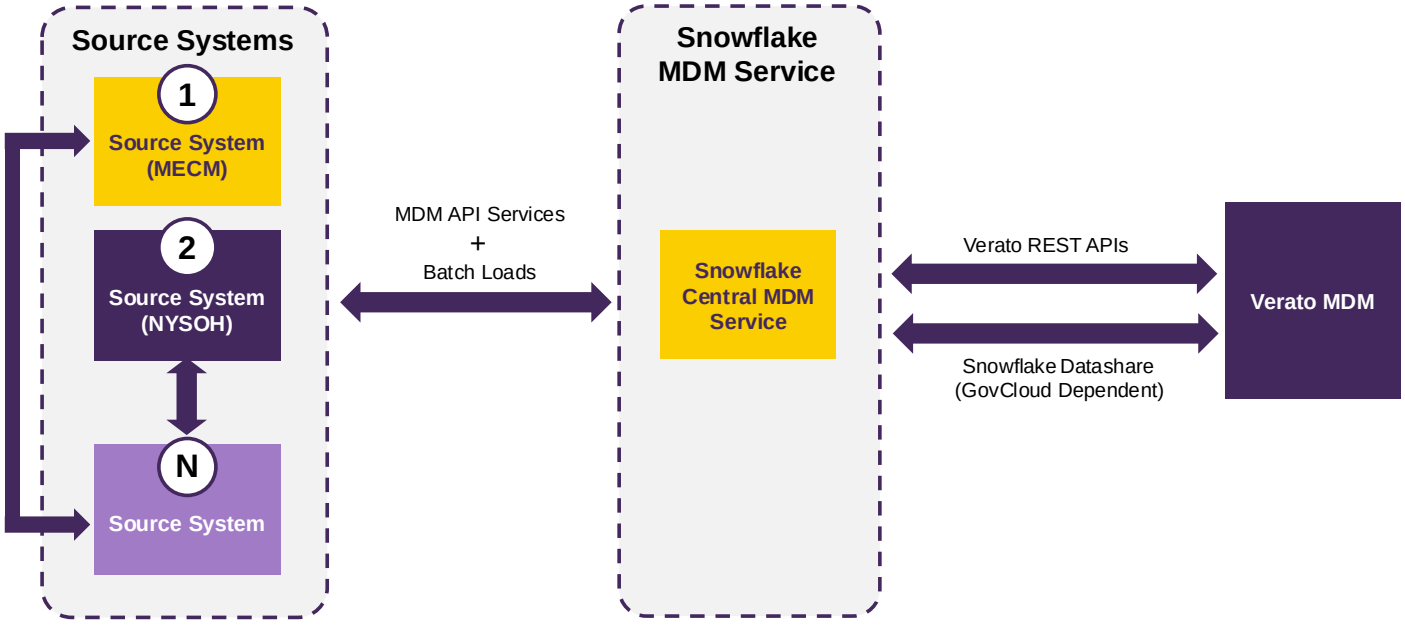
E. Cross-System Identity Architecture

In its end-state configuration, the MDM solution will serve as the enterprise identity hub connecting the MECM System, the NYSOH System, eMedNY, the AMS, MDW, and other integrated systems. Each source system will exchange member identity data with the Health Member MDM through the Snowflake MDM Service, using a combination of HMID, Clearance Number, Health Exchange ID (HXID), and Government ID (GovID), as applicable. The Health Member MDM will maintain a single source of truth database that enables cross-system

identity resolution and supports the Department's goal of a unified, consumer-centric service delivery model across all health insurance programs.

Figure 6 presents the end-state cross-system identity architecture, including data flows between source systems and the Health Member MDM.

Figure 6 – Health Member MDM Cross-System Identity Architecture



3.3.3 Appeals Management System

The AMS supports the E2E appeals process for cases in the MECM System and the NYSOH System. When an individual receives an eligibility determination, they have sixty (60) days to file an appeal, and the NY State of Health Appeals Unit has ninety (90) days to issue written notice of the appeal decision. AMS also supports the expedited appeal process.

The AMS performs the following activities:

- Interfaces with the MECM System and the NYSOH System
- Ingests appeals
- Executes an automated workflow to move appeals through their life cycle
- Supports the creation and maintenance of hearing schedules
- Supports scheduling hearings
- Supports decision drafting
- Sends appellants notices regarding the status and outcome of appeals

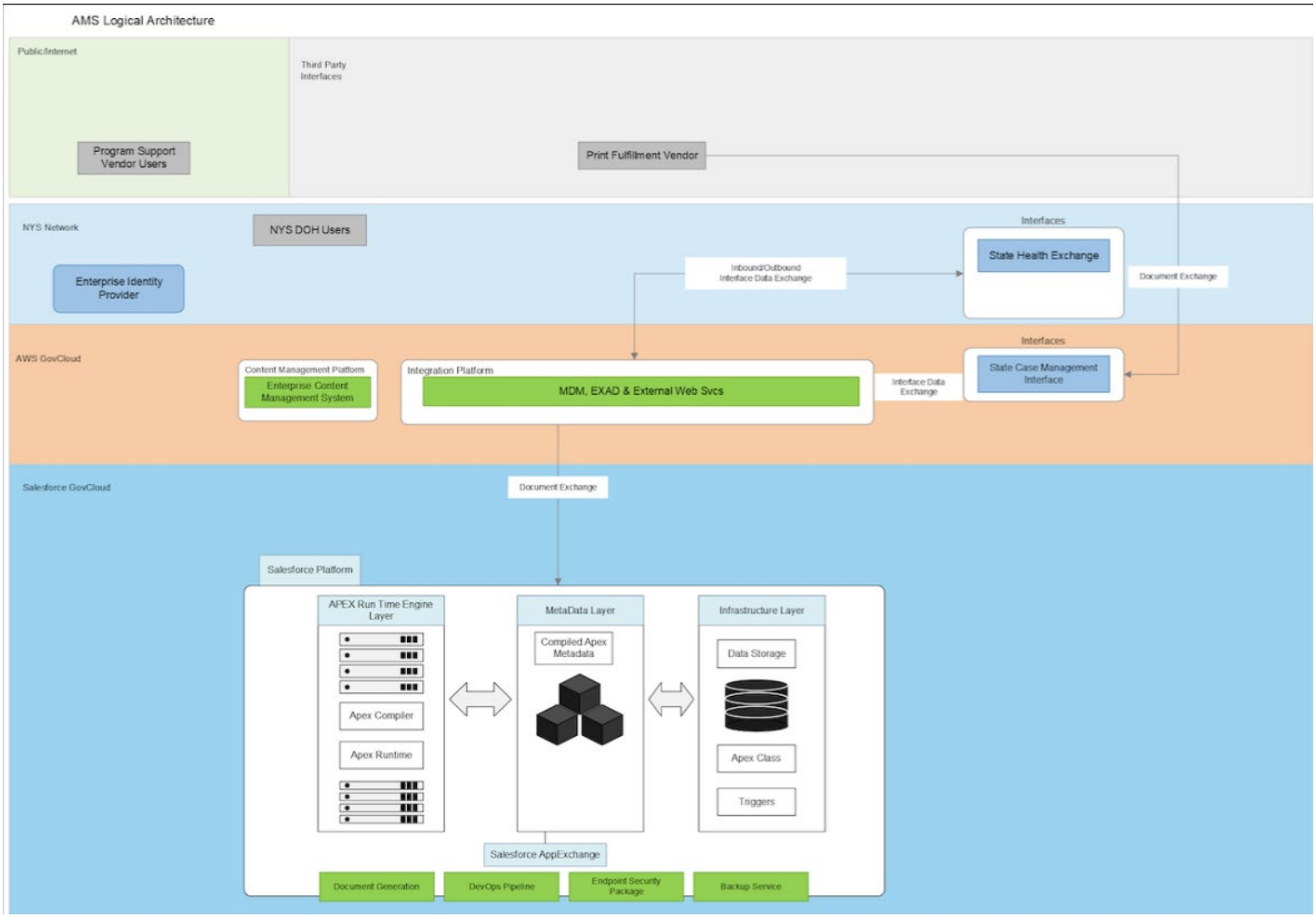
3.3.3.1 Appeals Management System Technology Stack

The AMS technology stack presented in **Exhibit G.21 – AMS Technology Stack** includes programming languages, frameworks, databases, third-party services, COTS software, and libraries upon which the AMS relies. It is expected that the Contractor will continue to use these technologies.

3.3.3.2 Logical Architecture

Figure 7 presents the various layers of the AMS, including components, tools, and external systems, and the interactions among these components. **Figure 7** is also available in **Exhibit G.20 – AMS Logical Architecture**.

Figure 7 – AMS Logical Architecture



The AMS is designed to streamline and secure the appeals process for the Department. This system uses an N-tier architecture. The Logical Architecture of Salesforce's AMS includes several layers and components support appeals processing within the Department. The following provides an overview of the Logical Architecture:

- **User Access** – Allows Customer Service Center staff and authorized Department staff to securely log in and manage appeals through ITS Enterprise Single Sign-On (ESSO) and other authentication systems
- **Data Handling** – Utilizes secure web services (including SOAP over Hypertext Transfer Protocol Secure [HTTPS]), REST, and SFTP to manage the flow of information and documents, such as Portable Document Format (PDF) notices
- **Document Management** – Uses DocuEdge (and in the future IBM FileNet) and AWS GovCloud for secure document storage and retrieval

- **Integration Layer** – Supports communication between AMS components and external services through IBM ACE
- **Core Platform** – Supports central operations through Salesforce GovCloud Plus, which includes layers for infrastructure, metadata, and custom business logic developed with Apex

Department employees access the Appeals Worker Portal through the ESSO. Customer Service Center vendor users access the Appeals Worker Portal through the Customer Service Center vendor's identity provider.

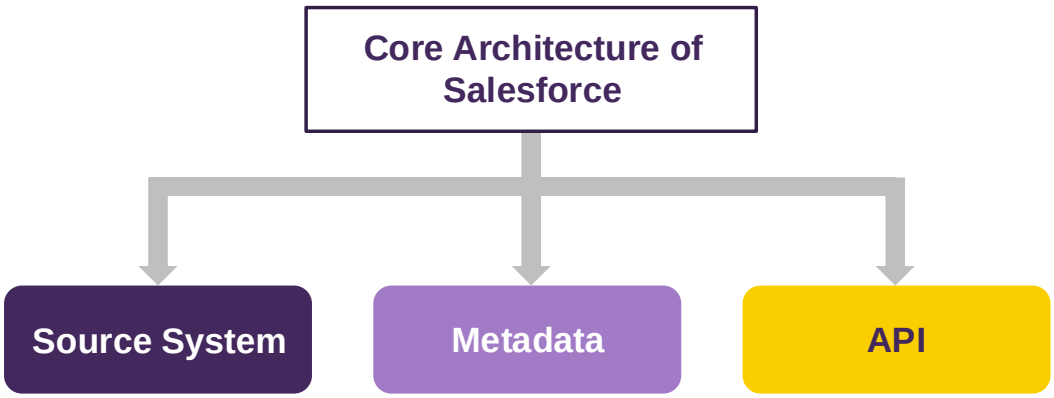
3.3.3.3 Appeals Management System Physical Architecture

Figure 8 provides an overview of the AMS Physical Architecture. The Salesforce platform offers a robust multi-tenant, metadata-driven architecture for each individual Salesforce tenant instance (also known as an "org"). This architecture can be conceptualized as a series of layers that deliver distinct features and functionalities. The three (3) critical areas for Salesforce platform architecture are the following:

- Multi-Tenant
- Metadata
- API

These areas are reflected in **Figure 8**.

Figure 8 – AMS Physical Architecture



A. Multi-Tenant

The multi-tenant architecture uses a single application to serve multiple groups or clients. Within this framework, multiple tenants share the same server, but their operations remain isolated from one another. This design maintains secure and segregated data for each tenant. The multi-tenant architecture allows developers to create an application, upload it to the cloud, and share it with multiple users or groups. This approach supports cost-effectiveness. In Salesforce, this architecture enables data to be stored within a single database.

B. Metadata

The Salesforce platform stores both data and metadata in a shared database. Tenant-specific data ensures that common data is accessible to only one (1) tenant, and not to other tenants or groups. This maintains data security in a shared environment. The metadata-driven platform supports customization and scaling as the amount of data or the number of concurrent user instances increases.

C. Application Programming Interface

The Salesforce metadata-driven model enables developers to create and customize applications. By using API services, developers can implement specific functionalities and support interaction and data exchange between different programs.

3.3.3.4 Appeals Management System Environments

The AMS environments are partitioned in Salesforce as listed in **Table 8**.

Table 8 – AMS Environments

Function	Env. Name	Purpose	Target User
Development	DEV1	Development and Configuration	Contractor
Integration Testing	SIT1	SIT	Contractor
UAT	UAT1	E2E UAT	Department
Training	TRNDEV	Training	Department
Pre-Production	PERF	Performance Testing	Contractor
	PRDT	Production Triage and Problem Analysis	Contractor
	PRDP	Emergency Release Environment to Test Patches	Contractor
Production	PROD	Production	Department

For an inventory of AMS products, refer to **Exhibit G.23 – AMS Bill of Materials (BOM)**.

3.3.3.5 High-Level Relationships Diagram

Figure 9 presents the high-level interaction between the MECM System, the NYSOH System, and the AMS, describing the data exchange that supports tracking and managing appeals.

Figure 9 – AMS High-Level Relationships with the NYSOH and MECM Systems

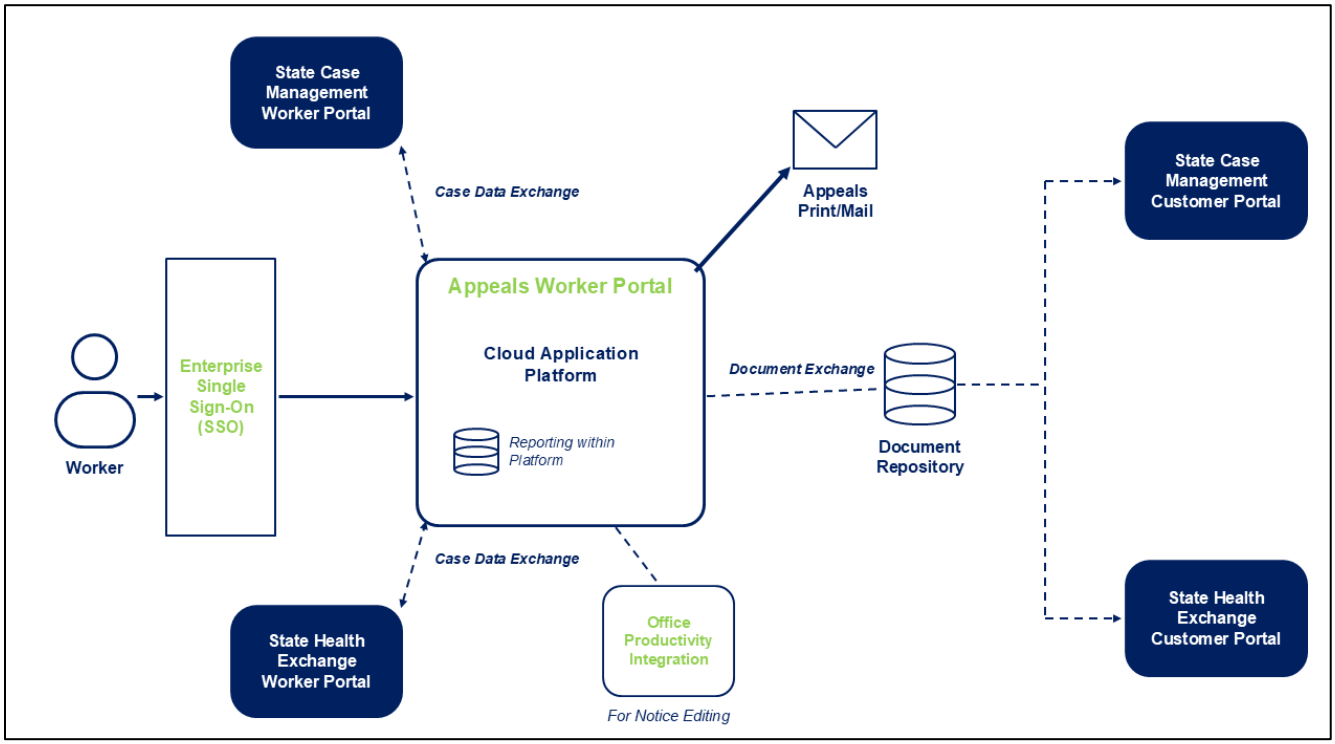


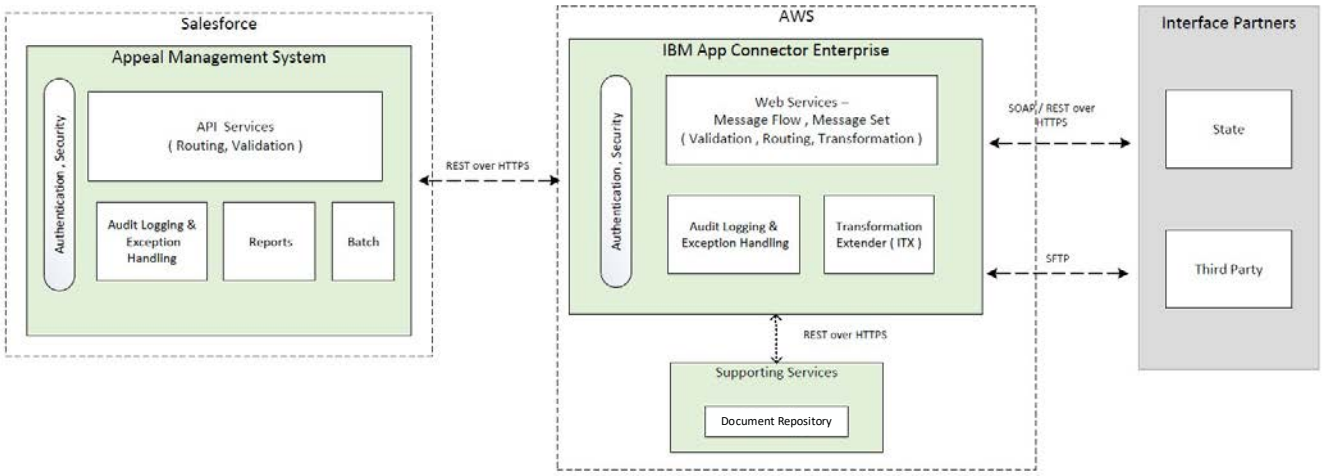
Figure 9 presents how the NYSOH System and the MECM System communicate with the AMS. The process begins when a worker signs into the AMS through Okta. The AMS uses interfaces with both the NYSOH System and the MECM System that allow appeals data from their respective Worker Portals to display in the AMS. The AMS supports notice editing by authorized appeals stakeholders who can author and edit notices. These notices are editable through integration with Microsoft Word. Final notices generated through the AMS integration are mailed by the printing and mailing vendor. This includes both automated and manual notices. After a notice has gone through the specified workflow, it is finalized and stored in a single document repository. Notices generated through the AMS also display in the consumer's user account in the MECM System and the NYSOH System.

For additional details on the AMS interfaces, refer to **Exhibit G.25 – Converged E&E System and AMS Interfaces**.

3.3.3.6 *Integration Architecture*

The AMS is implemented as SaaS using Salesforce Public Sector Solutions to store appeals created in real time through interfaces with the NYSOH System and the MECM System. **Figure 10** presents the Integration Architecture of the AMS.

Figure 10 – AMS Integration Architecture



IBM ACE serves as the Service Bus layer that integrates AMS applications with external partner systems through web services. It provides a central and unified channel for integrating and routing requests, authorizing access to services, and transforming data. When an interface requires a message in a specific format, IBM ACE transforms the payload into the required format before sending or receiving the payload to the target endpoint. Commonly used formats are JavaScript Object Notation (JSON) and EDI X12.

IBM Sterling Transformation Extender (ITX) is used to translate EDI X12 data into a JSON format and the reverse. IBM ACE supports SOAP web service security for SOAP-based services and basic authentication and open authorization (OAuth) for REST services. It also provides centralized configuration of transport-level and message-level security on interfaces through Transport Layer Security (TLS), TLS 1.2+ (Plus), and Mutual TLS (mTLS).

The AMS interfaces with external partners through IBM ACE services using REST over TLS for real-time data exchange.

3.3.4 Welfare Management System

The WMS receives, maintains, and processes information for individuals who have applied for and have been determined eligible for benefits under multiple programs and services. These include Temporary Assistance for Needy Families (TANF), Safety Net Assistance (SNA), Home Energy Assistance Program (HEAP), Supplemental Nutrition Assistance Program (SNAP), and other programs and services supervised by OTDA and OCFS.

The WMS is comprised of the following two (2) systems:

- Upstate WMS (also referred to as Rest of State [ROS] WMS)
- Downstate WMS (also referred to as NYC WMS)

Downstate WMS performs budget calculations and stores eligibility information for individuals in NYC, while Upstate WMS performs the same functions for the rest of NYS. OTDA and ITS are responsible for supporting

and maintaining Upstate WMS and Downstate WMS. Both systems are comprised of Common Business-Oriented Language (COBOL) applications that support batch and transaction processing on Unisys ClearPath Plus CS7802 mainframes (Transaction Interface Package [TIP]).

By the beginning of the Transition-In period (refer to **Section 5.2.3 – Transition-In**), it is assumed that the legacy Upstate WMS and Downstate WMS will be retired for Medicaid E&E and the Complex Medicaid Populations previously in WMS will have been migrated into the MECM System. In addition, it is assumed that all MAGI Medicaid eligibility determinations will be migrated to the NYSOH System. A subsystem of WMS, providing Common Benefit Identification Card (CBIC) management, will remain within WMS.

3.3.5 Customer Service Workflow Management System

There is a workflow management system currently utilized by the Customer Service Center vendor, a key vendor providing assistance to health insurance consumers. The MECM System and the NYSOH System technical interfaces with the customer service workflow management system are critical components that supports activities in the Customer Service Center. These activities include helping consumers, Assistors, and other authorized individuals with selecting a health plan and applying for and renewing health insurance coverage offered through the MECM System and the NYSOH System.

The Customer Service Center vendor is required to staff the Customer Service Center to assist applicants who are completing an application online and provide application assistance by phone and through online chat support. The Customer Service Center vendor is also responsible for processing documentation submitted by consumers and manually reviewing validations to support the verification of eligibility in the MECM System and NYSOH System when automated validations are not possible. The Customer Service Center vendor also assists with processing consumer appeal requests and provides and manages a mobile application for the NYSOH System that allows consumers to upload documents and view information about their coverage, plan enrollment, and enrollment dates.

The workflow management system is a proprietary system currently maintained and operated by Maximus, but the Department is releasing another RFP (#C043785) to succeed this contract.

3.3.6 eMedNY Medicaid Management Information System

eMedNY is a complex system that processes over two million (2,000,000) transactions per day, including one million three hundred thousand (1,300,000) claims. Application access is available to the Department, other State agencies, LDSSs, and health care providers. Transactions include the following:

- Institutional, professional, dental, pharmacy, and transportation claims
- Prior authorizations (Pas)
- Eligibility inquiries

eMedNY is also the Department's Medicaid payment system. The NYSOH System and the MECM System both transmit information to and receive information from eMedNY, including third-party health insurance information to confirm that consumers are obtaining accurate coverage.

3.3.7 Enterprise Data Warehouse

As a part of the Department's broader modernization strategy, the Department is in the process of procuring an Enterprise Data Warehouse (EDW), RFP # C043784), to consolidate and replace the current MDW, APCD, and hospital discharge data warehouse with a modern data warehouse and analytics platform.

3.4 Important Information

The Bidder must review, and is requested to have its legal counsel review, **Attachment 8 – Department Agreement (Standard Contract)** , as the successful Bidder must be willing to enter into the Contract awarded pursuant to this RFP in the terms of **Attachment 8 – Department Agreement (Standard Contract)**, **subject only to any amendments to the Standard Contract agreed by the Department during the Question and Answer Phase of this RFP**(refer to **Section 6.2 – Questions**). Please note that this RFP and the awarded Bidder's proposal will become part of the Contract as Appendix B and Appendix C, respectively.

It should be noted that Appendix A of **Attachment 8 – Department Agreement,** "Standard Clauses for New York State Contracts", contains important information, terms and conditions related to the Contract to be entered into as a result of this RFP and **will be incorporated, without change or amendment**, into the Contract entered into between the Department and the successful Bidder. By submitting a response to this RFP, the Bidder agrees to comply with all the provisions of the Contract, including all of the provisions of Appendix A.

Note, **Attachment 7 – Bidder's Certified Statements,** the Bidder's Certified Statements, **must** be submitted by each Bidder and includes a statement that the Bidder accepts, **without any added conditions, qualifications or exceptions,** the contract terms and conditions contained in this RFP including any exhibits and attachments, including, without limitation, **Attachment 8 – Department Agreement (Standard Contract)**. It also includes a statement that the Bidder acknowledges that, should any alternative proposals or extraneous terms be submitted with its Bid, such alternate proposals or extraneous terms will not be evaluated by the Department.

Any qualifications or exceptions proposed by a Bidder to this RFP should be submitted in writing using the process set forth in **Section 6.2 – Questions** prior to the deadline for submission of written questions indicated in **Section 2.0 – Calendar of Events**. Any such qualifications or exceptions that are not proposed prior to the deadline for the submission of written questions will not be considered by the Department after Contract award. Any amendments the Department makes to the RFP as a result of questions and answers will be publicized on the Department's website and will be available and applicable to all Bidders equally.

3.5 Term of the Agreement

The term of the Contract that will be entered into pursuant to this RFP between the Department and the successful Bidder is expected to be for a period of seven (7) years, commencing on the date shown in the Calendar of Events in **Section 2.0 – Calendar of Events**, subject to the availability of sufficient funding, successful Contractor performance, and approvals from the NYS OAG, CMS, and OSC.

After the initial Contract term expires, at the discretion of the Department, the Contract may be extended for an additional three (3)-year period through a contract renewal signed by both parties with all required approvals from NYS OAG, CMS and OSC. The pricing for years eight (8) through ten (10) of the Contract is subject to an annual increase or decrease as described in **Section 5.10 – Payment**.

4.0 BIDDER QUALIFICATIONS TO PROPOSE

The Department is seeking qualified organizations to bid as the Contractor for the SOW outlined in this RFP. For the purposes of this RFP, a Contractor is defined as an organization that enters into a direct Contract with the Department and assumes full responsibility for adherence to all contractual terms and conditions. The Contractor is solely responsible for meeting the requirements of the RFP. The Contractor is also accountable for performing the complete Contract and, with Department approval, may employ (and manage) subcontractors to carry out specific parts of the Contract.

4.1 Minimum Qualifications

The Department will accept proposals only from Bidders who have operated and maintained a Medicaid E&E system at least once within the past ten (10) years and for a state agency with two hundred fifty thousand (250,000) or more Medicaid members.

Bidders **may not** rely on the experience of their proposed subcontractor(s) to meet these minimum qualifications. Failure to meet these minimum qualifications will result in a proposal being deemed non-responsive and eliminated from consideration.

The following Contractors, and their respective affiliates and subsidiaries utilized under their identified contracts or services provided are ineligible to respond to this RFP. Any proposal submitted by such organizations will be deemed ineligible and will be rejected upon receipt. These entities include the following:

- Current Medicaid Systems QA Contractor (Contract #C042757) and their subcontractors
- Current Technical Advisory Services (TAS) Contractor (Contract #C039454)
- Any other contractors involved in the development of this RFP

The Contractor awarded under this RFP will provide services that may result in actual or perceived conflicts of interest in regard to future or ongoing RFPs and their resulting contracts. As such, the Contractor awarded under this RFP will be restricted from bidding on and/or providing services as a result of future procurements related to the work performed under this contract. Such procurements include, at a minimum, the following:

- EDW RFP (RFP #C043784)
- Customer Service Center RFP (RFP #C043785)

4.2 Preferred Qualifications

Bidders that have implemented a State-Based Exchange (SBE) solution at least once are preferred.

5.0 SCOPE OF WORK

This section describes the services that the successful Bidder awarded the Converged E&E System and AMS Contract (the Contractor) must provide. The Contractor must be able to provide all these services throughout the Contract term.

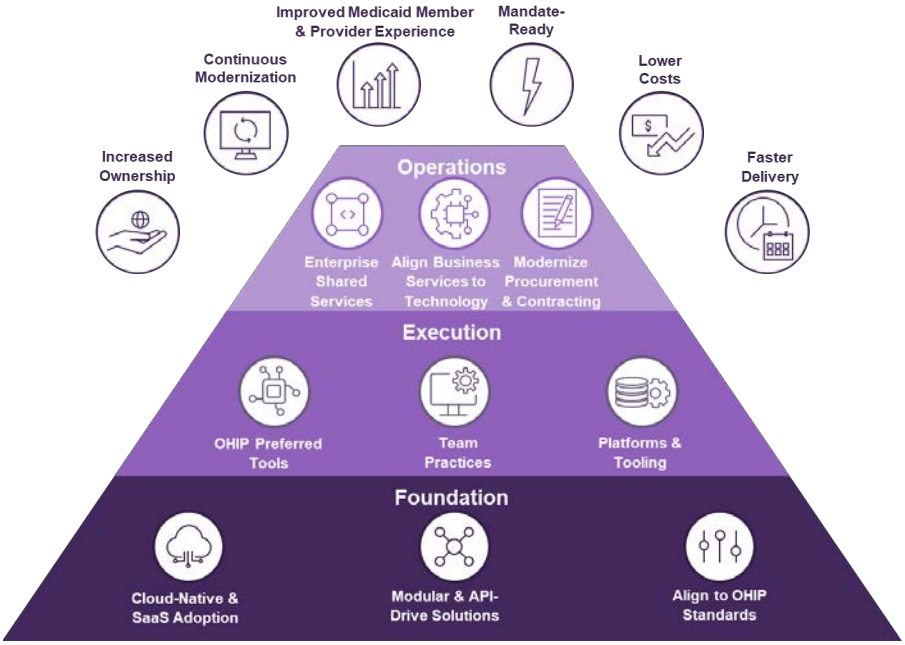
PLEASE NOTE: Bidders will be requested to provide responses that address all of the requirements of this RFP as part of its Technical Proposal.

The terms “bidders” “vendors,” “Contractor,” and “proposers” are also used interchangeably. For purposes of this RFP, the use of the terms “shall,” “must,” and “will” are used interchangeably when describing the Contractor’s/Bidder’s duties.

5.1 Medicaid Enterprise System Transformation Objectives and Outcomes

The Department is embarking on a multi-faceted modernization initiative through digital transformation and process modernization. This transformation is critical to achieving the Department's goal of improving the health of New Yorkers, along with other objectives and intended outcomes, as detailed in **Figure 11**.

Figure 11 – MES Transformation Outcomes and Objectives



This transformation will involve transitioning from several legacy technologies currently used to support Medicaid operations in the State to more modern systems capable of scaling and responding to the evolving needs of the Department.

The objectives of the MES transformation include the following:

- **Foundation** – Architecture and Standards
    - **Cloud-Native and SaaS Adoption** – Transition to resilient, highly available cloud infrastructure and platforms (i.e., SaaS, PaaS, and Infrastructure as a Service [IaaS]) to support dynamic workload management, including automated scaling, robust disaster recovery, and deep observability across the MES
    - **Modular and API-Driven Solutions** – Develop independently deployable, domain-driven modules and microservices using modern, well-defined data exchange methods (e.g., APIs and connectors) to enable interoperability across the MES
    - **Alignment to OHIP Standards** – Require adherence to the OHIP Standards, including compliance with State and federal standards and industry best practices
- **Execution** – How We Build and Buy
    - **OHIP Preferred Tools** – Require use of OHIP Preferred Operational Tools to support enterprise operations, eliminate proprietary technology, and avoid procurement of duplicative capabilities

    - **Team Practices (Agile, DevSecOps, Human-Centered Design [HCD])** – Apply agile and iterative design and development practices, HCD, DevSecOps, automated testing, and telemetry to support modern development and continuous improvement
    - **Platforms and Tooling (Low-Code, Artificial Intelligence [AI], CI/CD)** – Accelerate value delivery through AI-enabled, model-driven solution engineering using low-code and no-code platforms, rules and workflow engines, and reusable shared services, delivered through secure, automated CI/CD pipelines in State-controlled tenants

- **Operations** – How We Organize and Deliver

    - **Enterprise Shared Services (ESS)** – Implement centralized ESS across the MES to enable reuse and reduce duplication
    - **Alignment of Business Services to Technology** – Design and operate technology to support Medicaid business services (e.g., member enrollment, provider onboarding, prior authorization), ensuring clear ownership of modular components, interoperability, data, and service levels
    - **Modernized Procurement and Contracting** – Implement flexible, modular procurement strategies and outcome-based contracts to accelerate delivery, support innovation, and align vendor incentives with Department goals

By pursuing these objectives, the Department expects to achieve the following outcomes:

- **Increased Ownership** – Internal technical capabilities are strengthened, and OHIP increases ownership of licenses, code, configurations, documentation, and data, while improving vendor transparency and knowledge transfer to reduce reliance on vendors.
- **Continuous Modernization** – Medicaid solutions remain modern and secure, readily incorporating emerging innovations without requiring disruptive system overhauls, and enabling the Department to continuously adopt best-in-class technologies as they evolve.
- **Improved Medicaid Member and Provider Experience** – Medicaid members experience seamless and timely access to benefits, providers face minimal administrative burden, and State staff operate more efficiently, supported by high-quality, integrated data that enables proactive, evidence-based decision-making to improve health outcomes.
- **Mandate-Ready** – The Department adapts to State and federal mandates and other business needs with reduced operational lag, fewer service disruptions, and minimized solution-related backlogs.
- **Lower Costs** – Implementation and vendor costs are reduced through the use of AI and modern automation to streamline development and integration of new solutions, reducing manual engineering effort and resource requirements while optimizing the Department's IT budget and maximizing return on investment (ROI).
- **Faster Delivery** – Medicaid solutions, program features, and vendor services are delivered and updated in weeks or months rather than years, accelerating the Department's ability to deploy critical and innovative capabilities.

5.1.1 Medicaid Enterprise System Roadmap

The Department has developed a Roadmap to modernize the current MES. MES modernization supports the Department's vision and strategic objectives through improvements in program and technical operations. The Roadmap schedules procurements based on the MES modernization vision and the expiration dates of existing contracts.

The Roadmap includes the efforts in the subsections that follow.

5.1.1.1 Eligibility and Enrollment

The Contractor must provide services to the support the Department in performing the following activities:

- M&O of the MECM System and the AMS
- Enhance the MECM System and the AMS
- Incorporate NYSOH System functionality into the MECM System to form the Converged E&E System for Medicaid, CHPlus, BHP, and QHPs as a single seamless E&E experience for consumers under the "NYSOH" branding
- Utilize modern technologies to innovate capabilities and functions to expand business efficiencies and improve the overall user experience.

5.1.1.2 Enterprise Integration and Shared Services

The Department intends to build enterprise-wide integration services. These integration services will serve as a central integration hub for the Department's systems to exchange data, enhancing and replacing existing point-to-point interfaces between those systems. The integration services will be driven by APIs and real-time data exchange. These services will be delivered on a dependable, consistent basis with a strong emphasis on security, to support ongoing operational excellence.

Additionally, the Department, along with other third-party vendors will be providing ESSs such as identity and access management (IAM), enterprise content and document management (ECDM), metadata management, and reference data management to modernize and reduce duplicative technologies across the MES. The Contractor will be responsible for making the BRE available as a shared service so that other systems can leverage its capabilities. This involves exposing APIs to allow other systems to integrate with the BRE as well as working with third-party vendors to establish hubs to develop, test, and execute their business rules.

The Department will engage the Contractor in discussions to integrate with the Department's integration services as well as implementing the shared components into the Converged E&E System.

5.1.1.3 Enterprise Data Warehouse

For additional details about the EDW, refer to **Section 3.3.7 – Enterprise Data Warehouse**.

5.1.1.4 Medicaid Management Information System Modernization

eMedNY serves as the Department's core MMIS, supporting several Medicaid program and technology functions. The Department plans to modernize eMedNY's functions, some of which will be implemented through distinct MES modules for provider management and PA.

5.1.1.5 Drug Management System

The Department will procure a solution to support Drug Management functionality. The Drug Management procurement will include pharmacy PA operations and drug rebate functionality.

5.2 Requirements

This section provides detailed information on the SOW that will result from this RFP. To achieve the vision set forth herein, this RFP specifies the comprehensive requirements for the Contractor, the Converged E&E System, and the AMS. Additionally, the Contractor must comply with all applicable State and federal policies and regulations.

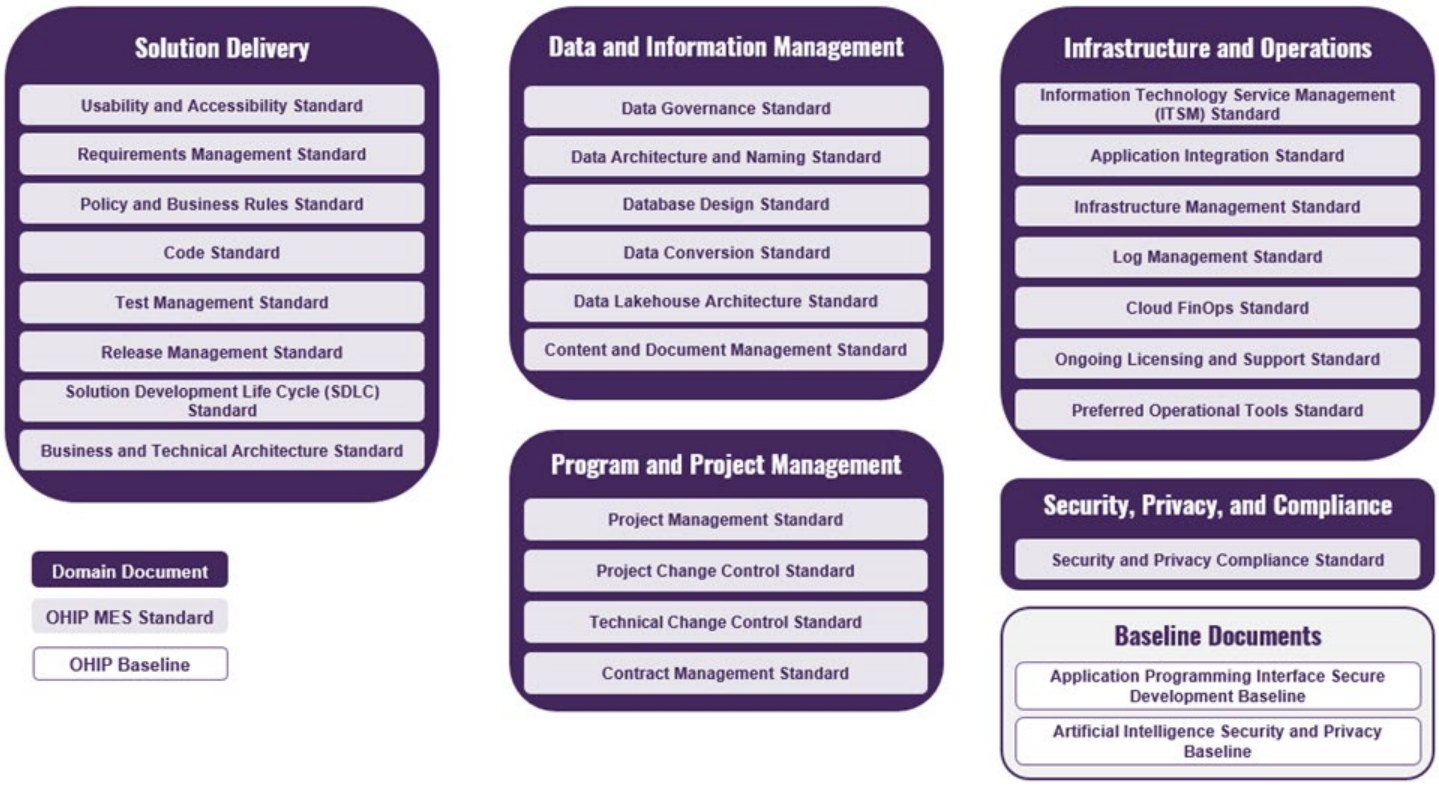
5.2.1 Office of Health Insurance Programs Medicaid Enterprise System Standards

The Contractor must comply with and align their solutions and processes with the OHIP MES Standards. The OHIP MES Standards address the following domains:

- Solution Delivery
- Data and Information Management
- Infrastructure and Operations
- Program and Project Management
- Security, Privacy, and Compliance

The OHIP MES Standards establish a foundation for consistency, compatibility, and compliance with industry-required and best practices. **Figure 12** presents the individual OHIP MES Standards within each Domain Document. The OHIP MES Standards are available on the Department website.

Figure 12 – OHIP MES Standards Framework



Details of the OHIP MES Standards requirements are provided in **Attachment E – RFP Requirements Matrix**.

The Department will provide deliverable templates at the time of onboarding for the Contractor to use during the project. **Table 9** describes the domains within the OHIP MES Standards In case when template is not available, the Department and the Contractor will determine content of the deliverables via the deliverable expectation document (DED) process (refer to **Section 5.8.1 – Deliverable Expectation Document** for additional details).

Table 9 – OHIP MES Standards Domain Documents

Domain	Description
Solution Delivery	This domain defines the full solution development life cycle (SDLC) for all MES solutions, including requirements management, code standards, policy and business rules implementation, test management, release management, and architectural modeling. It supports Waterfall, Agile, and various Hybrid delivery methodologies while integrating security, privacy, and architectural oversight for each phase of delivery.
Data and Information Management	This domain manages data as a strategic enterprise asset, including naming conventions, database design, DC analytics, and data lakehouse architecture. It ensures compliance with federal regulations while enforcing interoperability standards, data quality controls, and E2E data life cycle management across all OHIP systems.
Infrastructure and Operations	This domain directs cloud infrastructure management, IT service management (ITSM), log management, operational tooling, software licensing, API gateway management, Fast Healthcare Interoperability Resources (FHIR) and EDI interoperability standards, and event-driven integration patterns across all OHIP MES environments. It emphasizes SaaS-first delivery, enforces financial transparency through Cloud FinOps practices, and ensures long-term system sustainability and compliance with CMS and NYS requirements
Program and Project Management	This domain provides oversight of project execution, change control, contract administration, and technical governance for all OHIP MES projects. It establishes enforceable standards for scope, schedule, budget, risk, and documentation management across the full Contract life cycle, aligned with CMS Streamlined Modular Certification (SMC), APDs, and enhanced Federal Financial Participation (FFP) requirements.
Security, Privacy, and Compliance	This domain establishes and enforces adherence to OHIP's Security and Privacy Controls for all systems that create, process, transmit, or store OHIP data. It defines requirements for the System Security and Privacy Plan (SSPP) and a centralized compliance reference repository accessible to all internal and external stakeholders.

5.2.1.1 Office of Health Insurance Programs Medicaid Enterprise System Standards Compliance

Each OHIP MES Standard takes effect upon publication. The Contractor must comply with the OHIP MES Standards throughout the term of the Contract. OHIP may revise or amend the standards at any time, and compliance with the latest version is mandatory. In addition, the Department may develop additional OHIP MES Standards during the term of the Contract, which the Contractor must comply with. Each Domain Document contains additional information related to compliance requirements and processes that the Contractor must adhere to.

5.2.1.2 Preferred Operational Tools

The Contractor must comply with the operational tools listed in the OHIP Infrastructure and Operations Domain Document, Preferred Operational Tools Standard. If additional or alternate tools are required to support the project, the Contractor must obtain approval from the Department OHIP CTO and Enterprise Architecture team.

5.2.2 Project Management

The SOW within this RFP will be managed using a structured, repeatable, and disciplined approach. The Contractor must cooperate and coordinate with appropriate stakeholders, as identified in collaboration with the Department, throughout the Contract term. Crucially, this collaboration must include proactive and continuous engagement with the business stakeholders. The Contractor will establish regular feedback loops and alignment sessions to ensure that the systems product roadmap remains aligned with evolving business needs, helping to ensure that all developed functionality directly supports the Department's strategic and operational objectives.

The Contractor's project management (PM) responsibilities include adhering to and maintaining the methodology, processes, and procedures defined in the Department's Converged E&E System and AMS Project Management Plan (PMP) for managing the SOW and all required activities throughout the Contract term.

The Contractor must employ a PM methodology consistent with the Project Management Institute (PMI) Project Management Body of Knowledge (PMBOK®) and as outlined in **Section 5.2.5.3 – Solution Development Life Cycle**, unless otherwise specified by the Department. The Contractor's PM services must, at a minimum, comply with the Department's requirements, OHIP MES standards, and processes as described within this RFP. This methodology must integrate stakeholder validation at key milestones to verify that technical deliverables and system capabilities remain in lockstep with the functionality required by the business.

The Contractor and the Contractor's PM staff must be able to manage the schedule, scope, and budget for the Converged E&E System and AMS DDI, M&O, and enhancements SOW. The Contractor must identify the objectives for each deliverable and associated standard(s) to allocate the appropriate time, staff, and other resources needed to meet all project objectives. The Contractor's approach to PM must include maintaining established documentation, such as the MECM System and AMS PMP and relevant Department processes, based on the SOW and requirements within this RFP. As part of the managing ongoing scope and enhancements, the Contractor must continuously translate stakeholder feedback into actionable roadmap updates, ensuring that all modernization and maintenance effort deliver maximum business value.

The Contractor's approach to PM must include the following:

- Established documentation, such as the existing MECM System and AMS PMP from the Department, and relevant Department processes, including the Project Change Control Plan (PCCP), updated and maintained based on the SOW and requirements within this RFP (refer to **Exhibit G.17 – MECM System and AMS Project Management Plan** for the current version of the PMP for the MECM System and the AMS).
- Project planning and management, as well as the following management areas as part of the Contractor's regular, daily PM activities:
    - Governance
    - Stakeholder
    - Communication
    - Budget
    - Quality
    - Staff and resources
    - Risk and issue
    - Scope
    - Procurement

- Resource planning in collaboration with the Department and, where applicable, other stakeholders (e.g., ITS, third-party vendors)
- A process for addressing and managing risks and issues that is approved by the Department
- An Integrated Master Schedule (IMS), maintained by the Contractor, organized to represent all DDI and M&O dependencies, milestones, and deliverables
- Detailed and specific status reporting provided to the Department describing progress against project objectives, key milestones, and the baselined schedule
- Formal, documented control procedures for system configurations and customizations, Project Change Control (PCC) activities, document management, and deliverable management

PM requirements are provided in **Attachment E – RFP Requirements Matrix**.

5.2.2.1 Engagement Kick-Off Meeting and Presentation

The Engagement Kick-Off meeting and presentation is an essential step that marks the official commencement of the Contractor and the Department working together. The Engagement Kick-Off meeting and presentation must occur within four (4) weeks of the Contract start date. The Engagement Kick-Off meeting and presentation must be attended in-person by all onboarded Key and Support Staff. The Engagement Kick-Off meeting and presentation for this Contract will involve all key project stakeholders and establish a mutual understanding of the project objectives, timelines, responsibilities, and deliverables. The Department may refine the SOW for the Contractor after the release of this RFP and before the Contractor is onboarded (e.g., future enhancements). The Engagement Kick-Off meeting and presentation also serves as a platform to refine and clarify, as needed, the SOW to be performed by the Contractor.

The Engagement Kick-Off meeting and presentation, inclusive of preparatory and supporting activities, will lay the foundation for project execution by defining the initial priorities. This may include, at a minimum, the following topics:

- Transition of the PM, DDI, and M&O responsibilities
- Knowledge transfer in general
- Commencement of the Converged E&E System Implementation

As a part of the Engagement Kick-Off meeting and presentation, the Contractor must align the SOW under this RFP with the Department's goals and priorities. This approach supports the identification of potential challenges, optimal assignment of roles and responsibilities, and early development of communication and risk management strategies. The Engagement Kick-Off meeting and presentation is a strategic enabler for fostering collaboration and setting a clear direction for the project.

Refer to **Attachment E – RFP Requirements Matrix** and **Section 5.8 – Deliverables** for additional Engagement Kick-Off meeting and presentation information.

5.2.2.2 Project Integration Management

Projects are often dynamic and complex, involving multiple teams and organizational processes. Project integration management involves overseeing the five (5) PM phases that occur during the project life cycle. These five (5) phases include the following:

- **Project Initiation** – The goal of this phase is to establish the vision and goals for the project and secure stakeholder approval through project objectives. This phase includes creating the draft PMP to provide an overview of the project, a clear Roadmap, and the Stakeholder Register that identifies all stakeholders.
- **Project Planning** – This phase includes establishing the project infrastructure to support achieving the project goals within identified time and resource constraints. The project schedule and additional detailed project documents, such as the Staff and Resource Management Plan and Deliverable Management Plan, establish the project vision and identify Contractor resources needed for successful project completion.
- **Project Execution** – This phase is focused on putting the PMP into action and beginning project work. It includes stakeholder engagement and communication, QA, and team development.
- **Project Monitoring and Controlling**– This phase involves supervising the progress of the project and comparing it against the original plan, including taking corrective action when blockers or delays occur. This phase requires applying the Quality Management Plan, Risk and Issue Management Plan, and Scope Management Plan.
- **Project Closure** – This phase encompasses the formal closeout of the project following approval from the Department. For more information regarding project closure, refer to **Section 5.2.11 – Transition-Out**.

The Contractor must identify all elements of project integration, incorporate them into project planning, and resource them appropriately to achieve scheduled milestones.

5.2.2.3 Converged Eligibility and Enrollment System and Appeals Management System Project Roadmap

The Contractor must initially take over the M&O support services of the MECM System and the AMS from the Incumbent Contractor. As additional functionality is implemented to support other health insurance programs within the MECM System, the system will become the Converged E&E System and the AMS. Additional details on the transition process, projected timeline, and roles and responsibilities are provided in **Section 5.2.3 – Transition-In**.

The Contractor must collaborate with the Department to conduct a series of planning sessions and develop a Converged E&E System and AMS Project Roadmap. This document must detail a plan for M&O transition, the implementation of the Converged E&E System, and implementation of approved system improvements. The Converged E&E System and AMS Project Roadmap must include a phased approach and timeline for the SOW referenced in the following sections:

- **Section 5.2.3 – Transition-In**
- **Section 5.2.5.1 – Implementation Approach**
- **Section 5.2.8 – Major System Updates, Capacity-Based Team, and Enhancements**

Updates to the Converged E&E System and AMS Project Roadmap will be required throughout the Contract term to reflect changes in scope, timelines, release plans, and other elements related to the work described in this RFP. The Converged E&E System and AMS Project Roadmap will serve as a living document that must be updated, at a minimum, quarterly. Quarterly submissions of the Converged E&E System and AMS Project Roadmap must include, at a minimum, all required content at a detailed level for the upcoming six (6) months.

Content beyond the upcoming six (6) months should be included at a high level to cover the full duration of the implementation.

5.2.2.4 Updated Project Management Plan

The Department will furnish the Contractor with the current PMP for the MECM System and the AMS, which includes a comprehensive set of sub-management plans. The Contractor must maintain and update the existing PMP based on the SOW and requirements documented within this RFP to create the Converged E&E System and AMS PMP. The PMP is used to manage the project from the planning phase throughout the Contract term. Additional information about the PM phases is available in **Section 5.2.2.2 – Project Integration Management**. Refer to **Exhibit G.17 – MECM System and AMS Project Management Plan** for the existing PMP.

The PMP must describe the methodology, processes, and procedures for managing the project and all required activities for each project phase, including how the project is planned, executed, monitored, controlled, and closed. Refer to the OHIP Program and PM Domain Document, PM Standard for additional information on the PMP.

The Contractor must develop and maintain a Risks, Action Items, Issues, and Decisions (RAID) log for all project phases. The log must be maintained in the OHIP owned Jira application with full access for the Department and their designees to create new items, update open items, and review historical data. The standardized RAID content will be mutually agreed upon by the Department and the Contractor.

The PMP consists of multiple sub-management plans detailed in the subsections that follow, in **Attachment E – RFP Requirements**, and in **Section 5.8 – Deliverables**. As the project progresses, the Department acknowledges that updates to the PMP and sub-management plans will be required. The Contractor must maintain, update quarterly, and execute the PMP and sub-management plans throughout the Contract term. Changes to the PMP and sub-management plans must be resubmitted to the Department for review and approval prior to implementation.

The following subsections summarize the required content of the PMP and its sub-management plans.

A. Governance Structure

The Contractor must develop a structure that outlines the key components and methods by which the project will be governed. The Governance Structure must define how the project will operate throughout the life cycle across each phase, including the scope, inputs, outputs, roles, and responsibilities.

The Governance Structure must highlight the following:

- Team structure
- Responsible, Accountable, Consulted, and Informed (RACI) Matrix
- Decision authority
- Escalation framework

The Governance Structure must align with the SDLC framework outlined in **Section 5.2.5.3 – Solution Development Life Cycle**.

B. Stakeholder Management Plan

The Contractor must create a Stakeholder Management Plan that includes the approach to stakeholder identification. The plan must also address planning, managing, and monitoring stakeholder engagement within the Department, other NYS and federal agencies, and external entities (e.g., trading partners). The approach,

activities, participation, and communication levels must be established to support appropriate engagement for each stakeholder group. Stakeholder input and engagement will be important as changes and enhancements are made in the Converged E&E System and the AMS.

Additional information regarding stakeholders is provided in **Section 3.2.1 – Consumers** and **Section 5.2.5.3 – Solution Development Life Cycle**.

C. Communication Management Plan

The purpose of communication management is to define the communication requirements for the project, how information will be distributed, and how feedback will be received from all stakeholders. Communication management serves as a guide for providing timely, accurate, and consistent information to all stakeholders throughout the project life cycle.

The Contractor must employ timely, transparent, and effective communications with the Department and across all project stakeholders. The Communication Management Plan must address, at a minimum, the following elements:

- Methods, tools, and techniques that will be used for Department and stakeholder communication
- Schedule and timeline for standard, reoccurring communication (such as status reports)
- Methods for measuring the effectiveness of communication produced
- Meeting cadences, protocols, methods, and communication frequencies throughout the Contract term (Communication Matrix)

C.1 Meeting Inventory

The Contractor must develop and maintain an inventory of standing M&O and DDI project meetings. The meeting inventory must include, at a minimum, the meeting name, purpose, frequency (e.g., daily, weekly, semi-monthly), meeting host, meeting host organization, and invitees.

C.2 Meeting Management

The Contractor's Key Staff must be available to the Department at the chosen Office Facility (refer to **Section 5.4 – Office Facility**) as requested for meetings associated with the Converged E&E System and AMS project. For more information on Key Staff availability, refer to **Section 5.3.4.2 – Onsite and Remote Work**.

The Contractor is responsible for preparing and distributing the meeting agenda, linked in and attached to a Microsoft Outlook meeting invitation, no later than two (2) business days in advance of the meeting to support a consistent understanding of the meeting purpose and expected outcomes among invitees. The Contractor's meeting minutes must document action items (including due dates), key decisions, risks, issues, and other meeting outcomes in the appropriate log. Meeting minutes must be uploaded to the appropriate SharePoint site in a timely manner prior to distribution. The Contractor must record and distribute meeting minutes via an email that includes a hyperlink and a corresponding attachment of the meeting minutes to all meeting invitees within one (1) business day following the meeting.

C.3 Status Meetings

The Contractor must hold regularly scheduled status meetings with the Department for multiple aspects of the Converged E&E System and the AMS. For more information, refer to the following RFP sections for additional status meeting types and associated details:

- **Section 5.2.3 – Transition-In**
- **Section 5.2.4 – Maintenance and Operations**
- **Section 5.2.7 – System Testing**
- **Section 5.2.11 – Transition-Out**

The meeting cadence will be mutually agreed upon by the Department and the Contractor. The Department reserves the right to modify the meeting schedule based on business needs and operational priorities.

Additional requirements for project meetings are provided in **Attachment E – RFP Requirements Matrix**.

D. Budget Management Plan

The Contractor must develop a Budget Management Plan that outlines the processes required to manage, track, and report project costs within the established project budget. The budget and related costs will be defined during the contracting and Task Order process. Refer to **Section 5.2.8 – Major System Updates, Capacity-Based Team, and Enhancements** for additional details regarding the Task Order Process. The Contractor must track the budget in a timely manner and report cost information regularly through status reporting and invoices. Any cost changes must be managed using the PCCP. Additional information is available in **Section 5.2.2.4.J – Project Change Control Plan**.

The Contractor must propose a nonproprietary budget management tool, or a tool with budget management functionality, that supports accurate cost projections. The tool must align with the requirements described in the OHIP Infrastructure & Operations Domain Document, Preferred Operational Tools Standard. If at any point, the Department determines that they wish to identify a preferred budget management tool, the Contractor must begin using that tool instead at the Department's request.

The Contractor's invoicing mechanism must not be proprietary such that the Contractor supplies the Department with all necessary documentation to comply with audits.

Budget and cost documentation will be living documents and must be updated over the life of the project. Updates must occur every two (2) weeks (or as requested by the Department) to meet reporting requirements established by the Department and oversight agencies, including CMS.

E. Quality Management Plan

The Contractor must achieve predictable performance and minimize defects, issues, and errors early in the engagement. The Contractor must maintain and update the Quality Management Plan to include, at a minimum, the following detail:

- Functions and responsibilities of the QA team members
- Quality management process and the QA activities that will be implemented throughout the Contract term, including user involvement through user research and user participation in testing
- Basis for judging product quality
- Schedule for periodic QA meetings, as needed or upon request by the Department

The Quality Management Plan must also provide an approach for developing and using checklists, style guides, and other tools that support the Contractor in delivering quality throughout the project.

For additional details, refer to the OHIP Program and Project Management Domain Document, Project Management Standard as well as the OHIP Solution Delivery Domain Document, Code Standard.

F. Staff and Resource Management Plan

The Contractor must manage a month-by-month staffing forecast to be included in the IMS and communicated in status reports. The Contractor must develop a Staff and Resource Management Plan to identify roles, responsibilities, and resource assignments to specific project workstreams, including dependencies and expectations, as well as the process and timing for onboarding and offboarding.

The Contractor must maintain and update the Staff and Resource Management Plan to include, at a minimum, the following:

- Each staff member's role and responsibilities and contact information
- Onboarding and offboarding processes
- Timing of onboarding, offboarding, and credentialing for Key Staff positions
- Completion of mandated trainings, retention, and staff transition processes
- Tasks and plans for all staff

The Department must approve any requested changes to staff prior to onboarding.

G. Risk and Issue Management Plan

The Contractor must develop a Risk and Issue Management Plan that defines how risks and issues will be identified, evaluated, reported, managed, and mitigated. The plan must outline risk management activities and practices for prioritizing risks to support timely and appropriate escalation. The plan must also include a framework for assessing and managing the security risks associated with third-party vendors, subcontractors, or software providers. This third-party risk management process must include security due diligence, ongoing monitoring, and compliance validation.

The Contractor must maintain a Risk and Issue Log that includes potential risks and current issues identified during schedule management and other project activities. The Contractor must develop timely mitigation plans for each risk and issue in collaboration with the Department. Information in the Risk and Issue Log (maintained in the Department's preferred requirements management tool as defined in the OHIP Infrastructure and Operations Domain Document, Preferred Operational Tools Standard) must be kept up to date and recorded in status reports. The Risk and Issue Log is a component of the project RAID log, as described in **Section 5.2.2.4 – Updated Project Management Plan**.

H. Scope Management Plan

Project scope management consists of processes that support defining and maintaining the work required to complete needed functionality for a successful solution implementation and to achieve CMS certification. Scope management also provides the processes and procedures required to submit, review, and approve proposed changes to the defined SOW.

At a minimum, the Contractor's Scope Management Plan must include the following:

- Scope definition
- Project scope statement, including scope baseline
- Requirements definition
- Roles and responsibilities (RACI matrix)

The PCCP must address potential scope changes systematically by considering associated benefits and risks while maintaining alignment with overall project objectives. Refer to **Section 5.2.2.4.J – Project Change Control Plan** for additional information on the Project Change Request (PCR) process.

I. Procurement and Licensing Management Plan

The Contractor must submit a Procurement and Licensing Management Plan that outlines the process for purchasing or acquiring needed products and services on behalf of the Department, from entities outside of the Contractor or the Department. The plan must include the Contractor's method for identifying potential procurements and presenting them to the Department, as well as the process for obtaining Department approval.

The Procurement and License Management Plan must include, at a minimum, the following:

- Processes for selecting specific product or service and funding a procurement
- Approach for determining if a product purchase is the responsibility of the Contractor or the Department
- Method for contracting
- Flow-down terms and conditions to be communicated, tracked, and maintained

Licensing and ownership terms for MES solutions custom-developed or procured by the Contractor, as well as third-party software, solutions, and technology tools used within the OHIP MES technology ecosystem, must prioritize OHIP's control, flexibility, and ownership authority. The Contractor is responsible for establishing and securing license agreements that comply with operational requirements, protecting OHIP's ownership rights, preserving NYS Medicaid, CHPlus, BHP, and QHP program continuity, and supporting CMS and Department compliance expectations.

Additional information is available in the OHIP Infrastructure & Operations Domain Document, Ongoing Licensing and Support Standard. Refer to **Section 5.8 – Deliverables** for information on the Procurement and Licensing Assessment Report deliverable.

J. Project Change Control Plan

The Contractor must update and maintain the PCCP. The plan must define the overall strategy and methodology used to manage scope, schedule, and budget throughout the Contract term. The plan must also describe technology-specific change control activities, processes, and procedures. Changes include those that impact scope, schedule, cost, or baseline documentation.

The PCCP must clearly outline the criteria for requesting a change, change control procedures, prioritization policies, categorization used to determine governance, and the tools that will be utilized. Additional information is available in the OHIP Program & PM Domain Document, Project Change Control Standard**.**

K. Schedule Management Plan

The Contractor must define the framework used to create and maintain the IMS. The Schedule Management Plan must describe the approach and activities for planning, scheduling, and documenting project work. This includes identifying and sequencing activities, estimating effort and duration, and establishing dependencies.

The Schedule Management Plan must describe the methods and tools that will be used to create, update, and communicate the IMS, including standard uses for schedule structures, data elements, and ongoing schedule maintenance. The plan must also describe how schedule changes, including deviations and delays, and any related corrective actions will be documented and managed.

The Schedule Management Plan must identify milestones, schedule development roles and responsibilities, and the schedule format in accordance with the OHIP Infrastructure & Operations Domain Document, Preferred Operational Tools Standard. Refer to **Section 5.2.2.7 – Integrated Master Schedule** for additional information regarding the project schedule.

L. Document Management Plan

The Contractor must submit a Document Management Plan that defines the document management procedures for the project and how documents will be named, stored, maintained, and shared. The plan must specify the naming conventions, file formats, and metadata standards used to organize and categorize project documents. The plan must also include standard operating procedures (SOPs) for document usage and modification among stakeholders and project team members.

The Document Management Plan must include, at a minimum, SOPs for the following:

- Document naming conventions
- Document update and revision process, including the Department approval process where applicable
- Document access, including identification of owners responsible for ongoing monitoring and improvement of document control processes

L.1 Document Repository

The Contractor must store all project-related documentation, including project documentation, reference information, working documents, DEDs, and deliverables, in a Department-owned and controlled repository. The Department uses a SharePoint document management tool, as defined in the OHIP Infrastructure & Operations Domain Document, Preferred Operational Tools Standard, as the central document repository for the Converged E&E System and AMS project. The Department's document repository serves as a collaboration site for all project team members, stakeholders, and the Contractor. It will function as the centralized location for all documentation throughout the Contract term.

Key functions of the document management process include storing work products and maintaining version control and history. The document repository also functions as a communication tool for sharing information across teams and with Department stakeholders. The Contractor must work with the Department during onboarding to determine if a document repository has been established for the project or whether a new repository must be created to support the project.

L.2 Project Artifacts

For any project artifact not defined as a deliverable or work product, the Contractor must submit an outline or template to the Department for review prior to formal submission. Examples of such artifacts include Contractor invoices, reports, and other project and contract management artifacts. The timing for submission of an outline or template will be determined by the Department for any new artifact or prior to the next submission for recurring artifacts.

5.2.2.5 Deliverable Management Plan

The Contractor must create a Deliverable Management Plan that outlines the processes and procedures for developing and managing DEDs and deliverables through the Department's review and approval process. The plan must include identifying and communicating the deliverable scope, tasks, timeline, submission tracking, and methods used to confirm that deliverables meet Department-approved acceptance criteria.

The Contractor must:

- Receive Department approval for each DED
- Prepare all deliverables in accordance with the approved DED and submit them to the Department for review and approval on the approved schedule date.
- Develop deliverables collaboratively, incorporate the Department's feedback, and provide walkthroughs of complete deliverables with the Department, as needed or upon request, prior to formal submission.
- Certify that an internal quality review was conducted, including any noted corrections and deficiencies, prior to initiating the Department's review period (applies to both initial and final submissions).
- Address all requested revisions and comments clearly in any deliverable resubmissions. Changes to previously accepted deliverables are not permitted without Department approval.
- Provide the Department with procedures for tracking, coordinating, reviewing, evaluating, modifying, and approving all deliverables.

Additional detail regarding deliverables is provided in **Section 5.8 – Deliverables**.

5.2.2.6 Contract Management Plan

The Contractor must develop a Contract Management Plan that describes how the resulting Contract will be managed effectively and efficiently. The plan must outline the Contract scope, governance structure, monitoring and reporting requirements (including the SLAs defined in this RFP and other Contract requirements), Contract Closeout procedures, assumptions/risks/constraints, and the process for managing Contract changes.

Contract requirements are those established in the RFP and incorporated into the Contract upon execution. These include, at a minimum, requirements for the following project areas:

- PM
- Transition-In
- Staffing
- Performance Monitoring
- Issue and Dispute Resolution
- Reporting
- Risk Management
- Transition-Out

5.2.2.7 Integrated Master Schedule

The Contractor must develop an IMS that provides detailed tracking and management of project tasks, deliverables, milestones, durations, named resources, and progress toward completion. The IMS maintained by the Contractor must be organized to represent all M&O and DDI dependencies, milestones, and deliverables. The IMS must reflect progress, status, percent complete updates, and resource allocation revisions. The IMS must also include a change log that identifies changes to task names, start and end dates, resources, dependencies, and task durations.

While the Department must be provided access to the IMS at all times, the Contractor must also provide an updated IMS to Department stakeholders on a weekly basis. The Contractor should keep the data in the IMS current to the extent possible and at no point should the data in the IMS be older than one (1) week. The IMS must be produced using the Department's preferred PM tool, as outlined in the OHIP Infrastructure & Operations Domain Document, Preferred Operational Tools Standard, and delivered in the PM tool native format.

The Contractor must create and maintain a high-level timeline illustration of the IMS that includes key project phases and milestones. Upon request, the Contractor must produce various IMS views based on the stakeholder groups using or consuming the schedule. In addition, the IMS must maintain filters to identify tasks applicable to trading partners and business stakeholders.

The Contractor must provide the IMS in a formal deliverable submission to the Department stakeholders monthly. Quarterly submissions of the IMS must include, at a minimum, the activities, tasks, and subtasks at a detailed level for the upcoming six (6) months. Activities beyond the upcoming six (6) months should be included at a high level to cover the full duration of the implementation. The monthly submission of the IMS must be delivered in the following formats:

- PM tool native format
- Microsoft Excel or PDF

The Contractor must regularly assess the IMS for proposed changes to tasks, timelines, milestones, and related elements. Any proposed changes to the IMS must be submitted to the Department for review and approval. Upon approval, the Contractor must update the IMS accordingly. The IMS will be re-baselined at the Department's discretion following the PCCP.

5.2.2.8 Status Reporting

The Contractor must prepare regular status reports for the Department in Microsoft PowerPoint format, or another format as directed by the Department, and include any required supplemental information, such as linked files or RAID items. For all report types, the Department reserves the right to modify the required reporting elements.

The Contractor must provide status updates in the agreed-upon format and cadence. The Contractor may provide additional status reports or information as needed but must still adhere to the established format and cadence at a minimum. The status reporting format and cadence must be established and documented in the project Communication Management Plan. Refer to **Section 5.2.2.4.C – Communication Management Plan** for additional information.

A. Daily Status Reports

The Contractor must submit two (2) daily status reports—focused on qualitative information and quantitative data, respectively—providing a snapshot of M&O activities and operational status for the Converged E&E System and the AMS. The audience for these reports will be the Department's M&O lead(s) and other functional managers. The Department may share the daily status reports with additional stakeholders, as determined by the Department.

A.1 Daily Production Status Report

The Daily Production Status Report focuses on qualitative information and includes, at a minimum, information related to the following topics:

- System Status Overview
- Maintenance Activities
- Incident and Problem Management
- Recent and Upcoming Changes
- Security and Privacy Updates
- Compliance and Audit Information
- Upcoming Scheduled Maintenance

- Risks, Issues, and Mitigations
- Decisions, Action Items, and Recommendations

A.2 Operations Report

The daily Operations Report focuses on quantitative data and includes, at a minimum, metrics and how they have changed over time related to the following topics:

- System Performance Metrics
- Program Support Metrics
- Production Defect Metrics
- Special Provisions and SLA Metrics (including corrective actions and root cause analyses [RCAs] for each missed SLA)
- Daily Batch Operations
- Weekly Processing and Transaction Counts
- Staffing Contact Information Report
- Application Processing Data
- Enrollment Determination Data
- Disenrollment Data
- Monthly Enrollment Data
- Other Data

The Contractor must also work with the Department to include metrics related to the following topics in the daily Operations Report:

- External Interface Service Calls
- Notices (volume batched versus processed each day)
- File Transfers (success and failures for inbound and outbound files including, at a minimum, 834 files)

For additional details about M&O daily status reports and required content, refer to **Section 5.2.4 – Maintenance and Operations** and **Section 5.8 – Deliverables**.

B. Weekly Status Reports

Weekly status reports support ongoing project monitoring and are organized under the following subsections.

B.1 Design, Development, and Implementation and Maintenance and Operations

The Contractor must submit two (2) weekly status reports—focused on DDI efforts and M&O efforts, respectively—covering all activities within the applicable reporting time frames and the scope described in this RFP. These submissions must be shared with project stakeholders, as determined by the Department.

The weekly status reports must include, at a minimum, the following:

- Activities completed during the preceding reporting period
- Activities planned for the next reporting period
- Issues requiring resolution
- Risks and associated mitigation plans
- Budget variances
- Actual project progress against the planned schedule and budget, with explanations of any variances and associated mitigation plans

For additional details regarding M&O-focused reporting, refer to **Section 5.2.4 – Maintenance and Operations** and **Section 5.8 – Deliverables**. Refer to **Section 5.2.5.3 – Solution Development Life Cycle** for additional information on reporting requirements.

C. Monthly Status Reports

The Contractor must submit two (2) monthly status reports—focused on DDI efforts and M&O efforts, respectively—providing consolidated, executive-level summaries of the daily and weekly reports. The audience for these reports will be the Department's executive staff.

For additional details regarding M&O-focused reporting, refer to **Section 5.2.4 – Maintenance and Operations** and **Section 5.8 – Deliverables**.

5.2.2.9 Contract Closeout

During the Contract Closeout phase, the Contractor must identify the outstanding activities required to complete the Contract obligations by the end of the Contract term. The Department must approve the initiation of the Contract Closeout phase before the Closeout activities can begin.

No later than twelve (12) months before the last day of the Contract (i.e. no later than the end of Contract Year Six [6] if the three [3]-year extension option is not exercised or no later than the end of Contract Year Nine [9] if the extension option is exercised), or upon the request of the Department, the Contractor must submit a Contract Closeout Plan to the Department for approval. The Contract Closeout Plan must summarize all tasks required to formally close out the Contract, including, at a minimum, archiving documentation, deliverables, and other artifacts, and describing the process for verifying the Contractor's compliance with all contractual requirements and the OHIP MES Standards.

During the Contract Closeout phase, the Contractor must demonstrate completion of all requirements, including fulfillment of all deliverables and SLAs. At the end of this phase, after the Contractor has fulfilled the Contract terms, requirements, and deliverables and all invoicing is completed, the Contractor must prepare the Contract Closeout Documentation. The Contractor must transmit this documentation to the Department for signature (electronically or as otherwise agreed upon) by the appropriate parties to officially mark the end of the Contract.

The Contract Closeout Documentation must include, at a minimum, the following:

- Summary of the work conducted
- Deficiency and action item lists
- Verification that all final payments are completed
- Acknowledgement that no further legal obligations remain
- Archiving and documentation process
- Department approval and documentation transmission
- Contract Closeout checklist

Contract Closeout Documentation is further described in **Section 5.8 – Deliverables**.

The Contractor must align the archiving of the engagement documentation, deliverables, and artifacts with the Document Management Plan. The Contractor must utilize the project document repository, or another location designated by the Department, as the central repository for all project documentation, reference information, working documents, and deliverables. When documentation must be maintained outside of the repository, the Contractor must use Department-approved tools.

Note: Contract Closeout activities are not to be confused with Transition-Out activities, which may overlap. Contract Closeout must be conducted in alignment with the Transition-Out activities detailed in **Section 5.2.11 – Transition-Out**.

5.2.2.10 Quality Assurance

The Department has procured a QA vendor to provide QA services for the MES. The QA vendor manages QA management program to support the Department's transformation initiative. Their oversight responsibilities include the following:

- **Contractor Oversight** – SLA performance, burn rate analysis, transmittals, contract staff, contract transition, and facilities
- **PM Oversight** – Project deliverables, SDLC, requirements traceability, PMPs and processes, and project estimation process
- **Technology Oversight** – Testing and defect management oversight, business and technology deliverables and process, M&O assessment, service desk/call center performance, and business continuity (BC) and DR assessment
- **Compliance Assurance** – Federal and State regulations, policy, and standards, security and risk, CMS compliance, industry standards

The Contractor must respond to requests for information or findings from the Department or the Department's QA vendor and, at a minimum, update content based on QA comments or findings, attend meetings, and provide requested documentation. Important to the QA process is the Contractor's timely and accurate submission of all reports which the Department will make available to the QA vendor for review (refer to **Section 5.5 – Reporting** for additional details). The Contractor must make project artifacts, documentation, DEDs, deliverables, invoice drafts, procurement documentation, Key Staff credentials, and personnel available for review and assessment to support this collaboration.

Depending on the work product or project artifact, the QA vendor has a designated time frame to prepare findings and recommendations to the Department. Afterwards, the Contractor must respond to the Department or the QA vendor within five (5) business days, unless otherwise specified in this RFP, applicable requirements (refer to **Attachment E – RFP Requirements Matrix**), or applicable SLAs (refer to **Attachment F – SLAs**). The Department expects a collaborative relationship between the QA vendor and the Contractor throughout the term of each Contract, facilitated by the Department.

5.2.2.11 Independent Verification and Validation

If CMS requires independent verification and validation (IV&V) services, as defined in 45 CFR § 95.626 , the Department will procure IV&V services to provide oversight throughout the project life cycle. These services will focus on delivering IV&V reviews and reports to appropriate entities. Both the Department and its MES vendors are subject to IV&V reviews.

Accordingly, the Contractor must maintain a collaborative relationship with the IV&V vendor to promote transparency and open communication. This includes making project artifacts, documentation, deliverables, and personnel available for review and assessment. The Contractor's team must engage constructively in IV&V activities, including interviews and regular meetings. The Contractor must provide timely responses to information requests and address identified findings within five (5) business days. This time frame applies unless otherwise specified in this RFP, the applicable requirements (refer to **Attachment E – RFP Requirements Matrix**), the applicable SLAs (refer to **Attachment F –SLAs**), or an accelerated timeline is requested by CMS.

If IV&V services are required, the Contractor must integrate IV&V activities into the project schedule, particularly during SDLC phases and associated activities such as requirements validation, design reviews, testing, and Operational Readiness Reviews (ORRs). The Contractor must implement corrective actions specific to IV&V findings, as directed by the Department. Phase transitions will be contingent upon satisfactory resolution of IV&V findings.

5.2.3 Transition-In

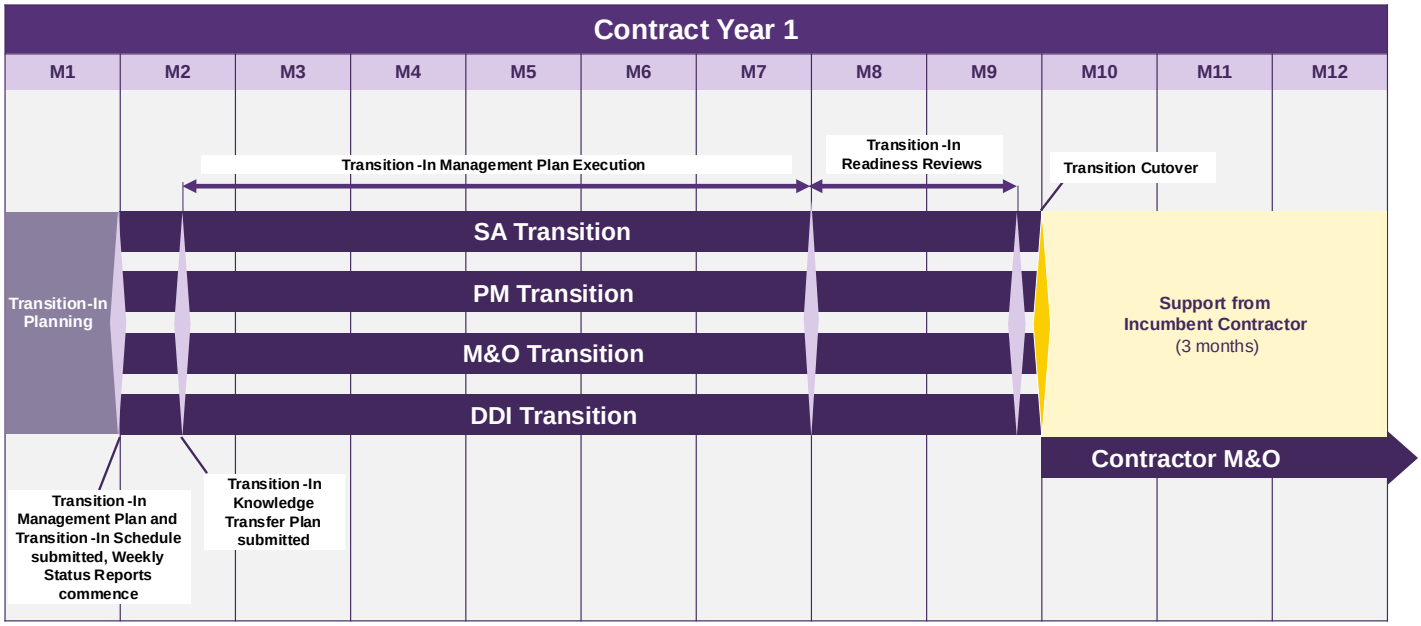
During the Transition-In period, the Contractor, in collaboration with the Department, must identify and implement the activities required to allow the Contractor to assume and take over the support for services, functions, and responsibilities for operating and maintaining the MECM System and the AMS from the Incumbent Contractor.

The Contractor is responsible for maintaining an orderly Transition-In that is transparent and prevents any disruption of service for all users of the system, including, at a minimum, consumers, authorized submitters, workers, Department divisions, and other external partners. For further details about stakeholders, refer to **Section 3.2.1 – Consumers**.

Transition-In includes the following four (4) transition areas: SA, PM, M&O, and DDI. Within each transition area, various services or functions will need to be transitioned. In addition, engagement planning activities may overlap with the Transition-In period.

Figure 13 presents the transition areas and a potential approach for Transition-In activities.

Figure 13 – Transition-In Timeline



During this Transition-In period, the Incumbent Contractor and the Contractor must coexist. The Transition-In period is expected to occur over no less than twelve (12) months, including three (3) months of support by the Incumbent Contractor after Transition Cutover.

Transition completion criteria include the Contractor performing an assessment of the SA, adopting it, and assuming responsibility for M&O services needed to maintain the MECM System and the AMS without service disruption. This requirement will be met when the Contractor is solely providing M&O assistance for all services and functions of the MECM System and the AMS (Transition Cutover milestone in **Figure 13**), which includes meeting or exceeding each applicable SLA, as identified in the Contract. The Transition-In SLAs are available in **Attachment F – SLAs**.

Transition-In includes creating a Transition-In Management Plan (TIMP) to determine what must be transitioned, the approach to transitioning, and the processes and procedures needed to carry out Transition-In and Transition Cutover. The TIMP includes a Transition-In Knowledge Transfer Plan, transition plans specific to certain transition areas, and Transition Cutover. Transition Cutover is defined as multiple events whereby responsibility for supporting all services and MECM System and AMS components is transferred from the Incumbent Contractor to the Contractor.

The Contractor is expected to implement a Transition-In approach that is realistic and achievable. The Contractor is also expected to manage Transition-In from an overall system perspective and at the level of individual services and functions within each transition area (i.e., SA, PM, M&O, and DDI).

Upon Contract execution, the Contractor must collaborate with the Incumbent Contractor to plan for and carry out transition activities. During the initial onboarding and project planning period, the Contractor and Incumbent Contractor must discuss and clarify transition activities and timelines and align both plans. The Contractor must coordinate a series of at least weekly meetings to confirm that the TIMP and the Incumbent Contractor's Turnover Plan are integrated and feasible for execution.

In addition, the Contractor is required to create a Transition-In Schedule to identify and manage all Transition-In activities and tasks required by the TIMP to support a successful Transition Cutover. The Transition-In Schedule will be discussed during at least weekly meetings between the Contractor and the Incumbent Contractor, with participation from the Department.

To assist with the transition, the Contractor must define within the Transition-In Knowledge Transfer Plan the knowledge transfer activities required for the Contractor to obtain knowledge from the Incumbent Contractor. The Transition-In Knowledge Transfer Plan must specifically include knowledge and artifact migration plans for the four (4) key transition areas of SA, PM, M&O, and DDI.

A focal point of Transition-In will be the Contractor's assessment of the MECM System and AMS architecture. This assessment must include, at a minimum, the following:

- Business Architecture
- Technology Architecture and its software components
- Logical Architecture
- Physical Architecture
- Integration Architecture
- Security and Privacy Architecture

The assessment must also include an evaluation of the systems' architecture against the RFP requirements and applicable SLAs to identify all areas of software and infrastructure improvements necessary to meet or exceed those requirements and SLAs and maintain compliance throughout the Contract term.

It is critical that the Contractor has a complete view and understanding of the systems, their components, and the way they must perform and operate. The Contractor must provide the Department with findings and recommendations for improvement for the Department's consideration. While it is expected that the Contractor assume the use of the current technology stack leveraged by the MECM System as described in **Section 3.3.2.3 –Technology Stack** (unless otherwise noted), the Contractor may propose the use of new technology to use instead. Any new technology must be reviewed and approved by the Department OHIP CTO and Enterprise Architecture team before it is implemented.

Once the Department approves the SA improvement recommendations, the Contractor must provide the Department with an SA Evolution Roadmap that summarizes the improvements and includes a timeline for implementation, the implementation approach, roles and responsibilities, and the cost impact for each planned improvement.

The Contractor must conduct Transition-In Readiness Reviews for the four (4) transition areas of SA, PM, M&O, and DDI. During these reviews, the Contractor must do the following:

- Confirm the Incumbent Contractor has completed the required Transition-In activities and tasks
- Confirm the Contractor has completed the required Transition-In activities and tasks
- Provide results from testing and/or validation
- Confirm the Contractor is prepared to assume control and responsibility for the transition areas

The Contractor must demonstrate readiness to take over and operate the MECM System and the AMS and deliver services to assist the Department, end users, and business partners before assuming control and responsibility.

Upon successfully performing a Transition-In Readiness Review for each of the four (4) transition areas, the Department will authorize the Contractor to schedule and implement Transition Cutover for those areas. Once Transition Cutover is achieved, the Contractor must assume full control and responsibility for all transition areas (SA, PM, M&O, and DDI).

For a period of three (3) months, beginning immediately after Transition Cutover, the Incumbent Contractor will provide technical advice and hands-on assistance to the Contractor on an as-needed basis. The full duration of the operational period and nature of the Incumbent Contractor's assistance will be identified and agreed to by the Department and the Incumbent Contractor and included as part of the Transition-In activities.

The Contractor must conduct a final review with the Department prior to the end of the initial operations period to provide operational status and determine whether technical advice and assistance are still required. Once all areas have been transitioned, the Contractor must schedule this final review with the Department to demonstrate that all activities required by the TIMP and Transition-In Schedule have been completed. The Department will approve and authorize the end of the Transition-In period at that time.

The Contractor and Incumbent Contractor must coordinate and synchronize, to the greatest extent possible, all Transition-In and Transition-Out activities. To support the Department's Transition-In goals, the Department and its technical advisor will closely monitor collaboration between the Incumbent Contractor and the Contractor.

Additional details on Transition-In are available in the OHIP Solution Delivery Domain Document, SDLC Standard. For a list of deliverables related to Transition-In, refer to **Section 5.8.5 – Transition-In Deliverables**.

5.2.3.1 Transition-In Management Plan

The Contractor is required to provide a TIMP at the beginning of the Transition-In period that outlines the approach and process for transitioning all identified components and services. The TIMP must include the following:

- Overall transition approach and activities to be conducted by the Contractor
- Assumptions and constraints
- Rationale for selecting the approach
- Planned transition activities and tasks
- Roles and responsibilities of the Department and Incumbent Contractor
- Collaboration with the Incumbent Contractor
- Risks and mitigation measures
- Transition training and knowledge transfer activities
- Transition-In Readiness Reviews for the approval of Transition Cutover

The Contractor is also required to provide scope-specific Transition-In Plans that outline all services, functions, and activities requiring transitioning and the tasks that must be carried out to perform Transition-In.

5.2.3.2 Transition-In Schedule

The Transition-In Schedule is a comprehensive schedule that must track the progress of the Contractor's activities during the Transition-In period. The schedule must include tasks such as the following:

- Service migrations
- Knowledge transfer
- Training
- Data architecture transfer (e.g., data models, data integration, data storage, and data governance)
- Documentation maintenance
- Progress reporting
- Systems testing and validation
- QA
- Transition Cutover
- Systems assumptions
- Communication strategy

The schedule must integrate activities among the Department, the Incumbent Contractor, and the Contractor and incorporate resource allocation and planning. The plan must be created in the Department's preferred PM tool (refer to the OHIP Infrastructure & Operations Domain Document, Preferred Operational Tools Standard) and provide an Integrated Project Schedule. It will help the Contractor understand the overall time frame required to complete the Transition-In and Transition Cutover processes. The Contractor must submit the Transition-In Schedule at the beginning of the Transition-In period and update it weekly thereafter.

5.2.3.3 Transition-In Knowledge Transfer Plan

Thirty (30) calendar days after the Contract start, the Contractor must develop a comprehensive Transition-In Knowledge Transfer Plan to address the knowledge transfer needs during the transition period. The plan must include activities and approaches for assessing the current systems' architecture and Contractor staff training needs. It must cover migration of knowledge and transfer of duties in the transition areas of SA, PM, M&O, and DDI, including DDI work that might be in progress at the time of transition. The plan is intended to equip Contractor staff with the necessary knowledge and skills needed to operate the system and manage the transition effectively.

5.2.3.4 Transition-In Weekly Meeting Agendas, Minutes, and Status Reports

The Contractor is responsible for organizing and facilitating at least weekly meetings with the Department to provide updates on Transition-In progress beginning the week after the Engagement Kick-Off meeting and presentation. These meetings must include the following:

- Review of the Transition-In Schedule with the Department and appropriate Contractor teams
- Status report of Transition-In activities for managers, supervisors, and leads
- Monthly executive-level meeting to discuss overall Transition-In progress and address any significant risks or issues

The Contractor must provide meeting agendas and accurate meeting minutes, as mutually agreed upon by the Department and the Contractor.

5.2.3.5 Transition-In Plan Execution

The Contractor must execute the approved Transition-In Plans for SA, PM, M&O, and DDI according to the approaches described in each plan. It is the Department's expectation that the actual Transition-In and knowledge transfer will occur in four (4) parallel tracks for the SA, PM, M&O, and DDI transition areas. The Contractor must have their teams fully formed and available to perform all Transition-In activities and absorb the knowledge of all processes, procedures, and artifacts presented by the Incumbent Contractor. Prior to completion of the Transition-In timeline, the Department will conduct comprehensive Transition-In Readiness Reviews to confirm that Transition-In activities and knowledge transfer have been completed in accordance with the requirements of this RFP.

5.2.3.6 Transition-In Readiness Reviews

The Contractor must conduct a series of Transition-In Readiness Reviews for all services and functions identified in the Transition-In Plans (SA, PM, M&O, and DDI) and in the Transition-In Knowledge Transfer Plan. The purpose of the Transition-In Readiness Reviews is to provide evidence that the Contractor can assume operational control and responsibility to support and enhance the MECM System and the AMS. The reviews will be conducted for all four (4) transition areas (SA, PM, M&O, and DDI).

Within the Transition-In Readiness Reviews, the Contractor must include the following:

- Status of transition activities, training and knowledge transfer, test results, and proposed Transition Cutover activities
- Confirmation of readiness
- The Department's Transition Cutover Go/No-Go decision

Additionally, the Contractor must demonstrate their ability to operate the MECM System and the AMS in production and coordinate with the Incumbent Contractor for Transition Cutover tasks. The Transition-In

Readiness Reviews will confirm that the Contractor is fully prepared to assume MECM System and AMS responsibility, following the methods, processes, and reviews outlined in the Transition-In Plans and Transition-In Knowledge Transfer Plan.

Transition-In requirements are provided in **Attachment E – RFP Requirements Matrix.**

5.2.4 Maintenance and Operations

During the first year of the Contract term, the Contractor will assume M&O responsibilities for the MECM System and the AMS (refer to **Section 5.2.3 – Transition-In**). As the MECM System is incrementally expanded into the Converged E&E System through the migration and DDI of NYSOH System functionality, the Contractor's M&O responsibilities will correspondingly expand to encompass the full Converged E&E System and the AMS.

The Department's current NYSOH System contractor has approximately ninety (90) resources providing M&O support and the current MECM System contractor has approximately one hundred twenty (120) resources providing M&O support. Prior to the retirement of the NYSOH System, bidders should anticipate providing a similar level of support for M&O services as is provided for the MECM System. Once convergence is complete and the NYSOH System is retired, that level of support should rise, but given the efficiencies gained from running one (1) system instead of two (2) systems, that level should remain below the two hundred ten (210) total resources currently supporting M&O.

For this RFP, M&O encompasses the continuous sustainment of the production system and all supporting environments to keep them up to date, efficient, secure, and fully functional. This includes, at a minimum, the following:

- Technical monitoring, system support, and triage
- Routine maintenance and break/fix activities
- Routine security patching, certificate renewals, and minor system updates
- Corrective action for defects in previously released functionality

Unless otherwise directed by the Department or constrained by vendor support policies, software will be maintained at N-1, where N represents the most current vendor-supported version. Day-to-day operations include processing and storing data accurately, managing identity and access, monitoring batch and real-time processes, and troubleshooting incidents in accordance with approved SLAs. Refer to the OHIP Infrastructure & Operations Domain Document, Infrastructure Management Standard for performance categories and environment operations expectations.

The Department will establish an M&O framework within which the Contractor must operate, beginning with the Transition-In period, followed by steady-state M&O of the Converged E&E System and the AMS, and concluding with the Transition-Out period during the final twelve (12) months of the Contract (refer to **Section 5.2.11 – Transition-Out**). Requirements with monetary implications for nonperformance are defined in **Attachment F – SLAs**, and the complete set of M&O requirements are provided in **Attachment E – RFP Requirements Matrix**.

5.2.4.1 Maintenance and Operations Reporting

M&O reporting defines how the Contractor must inform the Department about the health and performance of the Converged E&E System and the AMS. Reports are expected to support business and operational decision-making and must include compliance-oriented summaries, infrastructure operations data, and performance metrics such as availability, response times, throughput, capacity trends, and batch status. Reports will also provide visibility into the following:

- SLA attainment
- Incidents and problems, including backlog and resolution times
- Change and Release activity
- Requirements traceability, including development progress, iteration checkpoints, and Department input prior to testing
- Notable security events

Reports must follow Department templates and schedules, be accurate and complete, and be responsive to ad hoc requests when the Department requires additional insight. Reporting practices and templates must align with the OHIP Infrastructure & Operations Domain Document, ITSM Standard and the OHIP Program & PM Domain Document, PM Standard, with performance elements informed by the OHIP Infrastructure & Operations Domain Document, Infrastructure Management Standard.

Additional information on M&O reporting is available in **Section 5.2.2 – Project Management** and **Section 5.8 – Deliverables**.

5.2.4.2 Maintenance and Operations Manual

The Contractor must update and maintain an M&O Manual in collaboration with the Department. Current M&O Manuals for the MECM System and the AMS are available in **Exhibit G.16 – MECM M&O Runbook** and **Exhibit G.18 – AMS M&O Runbook**, respectively. The M&O Manual must be clear and user-friendly and include all procedures, roles, responsibilities, and escalation paths required for effective system operations.

At a minimum, the M&O Manual must include the following:

- Detailed incident reporting and escalation processes, including timelines and communication protocols
- Defined roles and responsibilities for all M&O activities, supported by a RACI matrix
- Step-by-step operational procedures, backup and recovery instructions, data retention and archival processes, and change management processes
- Performance monitoring and reporting guidelines aligned with SLAs
- Quick reference guides, frequently asked questions (FAQs), and training materials to support Department staff and stakeholders
- Updates reflecting system changes, enhancements, or new processes throughout the Contract term
- M&O Runbook for all batch jobs including details for each job

The Department reserves the right to review, approve, and require revisions to the M&O Manual prior to the start of M&O activities and at any time during the Contract term.

5.2.4.3 Security and Privacy

This support area describes the Contractor's responsibility to protect the Converged E&E System, the AMS, and associated data through layered security controls, active vulnerability management, and disciplined privacy practices.

Throughout the development of the MECM System, the Department has implemented controls and technologies to bolster the security and privacy of the system. In particular, the Department has implemented products and services that meet Federal Risk and Authorization Management Program (FedRAMP) Moderate or higher security and privacy controls. In addition, the Department's efforts include investments to strengthen:

- Data protection and encryption
- IAM
- Security logging and monitoring
- Infrastructure and network security
- Vulnerability scanning and testing
- Compliance and governance

To see more information about the technologies and practices employed within the MECM System, refer to **Section 3.3.2 – Medicaid Eligibility and Client Management System**.

The Contractor must continue to maintain and operate these controls and technologies following the Transition-In period. Refer to **Section 5.7 – Security and Privacy** for additional information.

5.2.4.4 Business Continuity and Disaster Recovery

BC and DR define the ability of the Contractor's solution to withstand disruption and recover in a predictable manner. The Contractor must maintain a BC/DR Plan that clarifies roles, responsibilities, processes, communication protocols, and severity-based restoration strategies.

The BC/DR Plan must include a dedicated section outlining step-by-step actions in the event of large-scale emergencies, such as natural disasters in which both primary and backup sites are unavailable. This section must address, at a minimum, the following:

- Alternate facility and work locations
- Staff relocation procedures
- Large-scale communications to support continuity across multi-site impacts

Backups must be secure, validated, and aligned with defined RPO and RTO targets. The BC/DR Plan must include detailed requirements for backup encryption and verification processes, particularly for those backups containing Federal Tax Information (FTI). Roles and responsibilities must be defined for handling backup media, transporting tapes, or replicating data across environments. Performance obligations, including RPO and RTO targets, recovery time frames, and related reporting requirements, are defined in the DR SLAs within **Attachment F – SLAs.**

Configuration consistency must be maintained using CI/CD practices, and restoration procedures must be documented and tested. Automated recovery and transaction validation must be used where feasible to reduce manual intervention and minimize impacts to production operations.

The Contractor must conduct annual BC/DR exercises and demonstrations to validate continuity capabilities. These activities must include smaller, more frequent exercises, such as tabletop exercises or partial failovers, to support Department readiness and identify gaps prior to real-world incidents. All exercises must include after-action reporting and remediation tracking.

To support clarity and accountability, the Contractor must develop and maintain a RACI matrix that assigns roles and responsibilities for each step in the BC/DR process, including activities such as data restoration, network switching, and workforce response. The RACI matrix must identify backup resources as contingencies and describe how updates are tracked and who is responsible for each checkpoint.

For staff relocation scenarios, the BC/DR Plan must describe the management of remote access and secured Virtual Private Network (VPN) connectivity, including setup procedures, approved devices or VPN solutions, and methods for handling increased remote access demand during a disaster. The plan must address licensing, bandwidth, and support requirements needed to maintain operational effectiveness.

BC/DR planning activities and exercises must align with the OHIP Infrastructure & Operations Domain Document, Infrastructure Management Standard and the OHIP Security, Privacy, and Compliance Domain Document, Security and Privacy Compliance Standard.

5.2.4.5 Configuration Management

Configuration Management covers essential tasks for maintaining consistency and reliability across the system environments supporting the Converged E&E System and the AMS. This includes managing and documenting system configurations, data models, and environments such as Development, SIT, UAT, and Production.

The Contractor must manage configurations, data models (logical, conceptual, and physical), and environment documentation so they reflect current operational conditions and Department standards. Reference data and test data must be deployed, synchronized, and cleaned in non-Production Environments to ensure valid testing. Network and platform settings, ports, interfaces, and access controls must be planned and maintained to support system performance and operability. Changes, including upgrades and releases, must be scheduled and executed to minimize disruption and align with Department priorities and maintenance windows.

Refer to the OHIP Infrastructure & Operations Domain Document, Infrastructure Management Standard and the OHIP Program & PM Domain Document, Consolidated Technical Change Control Standard for additional information.

5.2.4.6 Escalation Management

Escalation Management addresses issues that exceed routine troubleshooting and require heightened attention. The Contractor must operate clear escalation procedures with defined roles, time frames, and communication paths to the Department and affected users. This includes developing and providing an easy-to-follow incident handling process that defines process flows, roles and responsibilities, escalation paths, and quick-fix procedures for common issues. Incidents and problems must be logged, classified, prioritized, and tracked through resolution, with RCA used to drive corrective and preventive actions.

For change-related incidents, the Contractor must implement a change management cycle that defines review responsibilities, approval processes, testing approaches, and communication steps required for Department review and approval. Procedures must also address service desk and request handling, including how users submit requests for assistance (e.g., ticketing systems), how requests are processed, and how prioritization is determined based on impact and urgency.

To support proactive incident prevention, the Contractor must incorporate capacity and performance planning activities, including monitoring system usage, establishing alert thresholds, and forecasting future needs to address growth or usage spikes. These practices must align with Information Technology Infrastructure Library (ITIL)-based processes and emphasize knowledge sharing, trend analysis, and continuous improvement to reduce recurrence and downtime. Continuous improvement activities must include a structured process for service refinement, with procedures for measuring results, selecting improvement opportunities, implementing incremental fixes, and tracking improvements over time.

Refer to the OHIP Infrastructure & Operations Domain Document, ITSM Standard and the OHIP Program & PM Domain Document, Technical Change Control Standard for additional information.

5.2.4.7 Technology Operations

Technology Operations addresses the day-to-day operation of the Converged E&E System and the AMS and their supporting environments. The Contractor must provide technical support and service ticket processing, perform preventive and corrective maintenance, and follow approved operational runbooks for batch scheduling, monitoring, reconciliation, and recovery.

The Contractor must coordinate with the Department and third-party providers to support environment stability and timely issue resolution. Operational responsibilities include proactive monitoring of system performance and capacity, consistent execution of backup and recovery activities, and maintaining current operational documentation to support compliance with established SLAs.

Refer to the OHIP Infrastructure & Operations Domain Document, Infrastructure Management Standard and the OHIP Infrastructure & Operations Domain Document, ITSM Standard for additional information.

5.2.4.8 Business Support Services

Business Support Services encompass the administrative and compliance functions required to keep software, licenses, and assets governed and auditable. The Contractor must manage maintenance contracts and software license renewals, support authorized procurement of software and equipment, and maintain records required for audits and certifications.

The Contractor must also prepare and maintain meeting materials and minutes, and assist the Department with evaluating regulatory changes and responding to audit requests. Participation in change management, risk and issue management, and service level management processes supports transparency and effective control of M&O activities.

Refer to the OHIP Infrastructure & Operations Domain Document, Ongoing Licensing and Support Standard and the OHIP Program & PM Domain Document, PM Standard for additional information.

5.2.4.9 FinOps

FinOps addresses stewardship and optimization of cloud resources and associated costs. The Contractor must monitor cloud usage and expenditures, compare actual costs against established baselines, and identify anomalies. Regular reporting must provide visibility into spending trends and forecasts, and quarterly reviews must identify optimization opportunities, such as rightsizing, scheduling Production resources, and refining storage life cycle policies. The Contractor must ensure the Department has access to all monitoring, reporting, and forecasts.

Industry tools, such as AWS Trusted Advisor and Cost Optimization Hub, or Google Cloud Recommender and Cost Optimization Hub, are currently used to inform cost optimization recommendations. The Contractor must use the same or similar Department-approved tools. Recommendations must be implemented at the Department's direction to maintain cost-effective operations without compromising system performance.

Refer to the following OHIP Standards for additional information:

- OHIP Infrastructure & Operations Domain Document, Preferred Operational Tools Standard
- OHIP Infrastructure & Operations Domain Document, Cloud FinOps Standard
- OHIP Infrastructure & Operations Domain Document, Infrastructure Management Standard

5.2.4.10 User Experience Monitoring and Feedback

The Contractor must establish a UX Monitoring and Feedback function as a part of ongoing M&O activities to systematically capture, analyze, and develop recommendations based on feedback from users of the Converged E&E System and the AMS. This function must integrate with service desk, incident management, and problem management practices, as described in the OHIP Infrastructure & Operations Domain Document, ITSM Standard.

The Contractor must track key performance indicators (KPIs) as a part of this function. Suggested KPIs are identified in the OHIP Infrastructure & Operations Domain Document, ITSM Standard. The Contractor must also convene regular user advisory sessions to gather feedback and discuss potential improvements and solutions.

5.2.5 Design, Development, and Implementation

The following sections describe the Contractor's responsibilities for DDI of the Converged E&E System.

The Department's NYSOH System has approximately two hundred and ten (210) resources providing DDI support and the MECM System has approximately two hundred and eighty (280) resources providing DDI support. Bidders should anticipate providing a similar level of support for DDI services to achieve the Converged E&E System Go-Live inclusive of the services described in **Section 5.2.8 – Major System Updates, Capacity-Based Team, and Enhancements**. Following Converged E&E System Go-Live, the efficiencies gained from running one (1) system instead of two (2) systems, should result in DDI resources well below the total resources currently supporting DDI efforts for the NYSOH System and MECM System.

5.2.5.1 Implementation Approach

The Contractor must comply with the required time frames, phases, and technical activities described in this section for the DDI of the Converged E&E System. The Converged E&E System must be production-ready no later than July 1, 2030, to support the November 2030 Open Enrollment period for Coverage Year 2031. Failure to meet the Department's implementation timelines will result in substantial financial penalties as described in **Attachment F – SLAs**.

A. Implementation Milestones

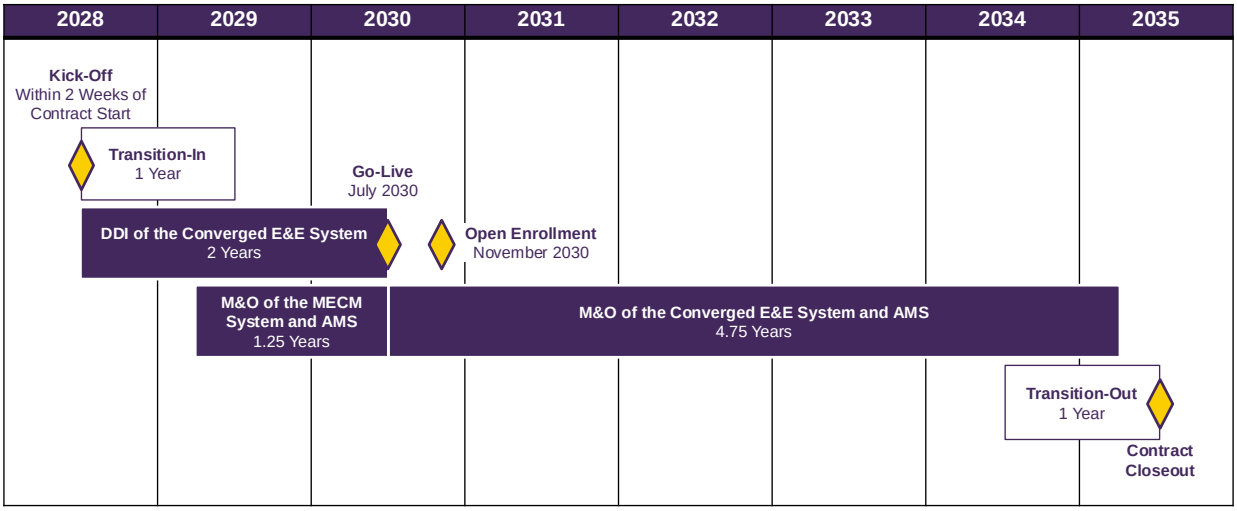
The Contractor's implementation plan and schedule must account for the following milestones:

- **Go-Live Deadline** – The Converged E&E System must be fully operational in production and capable of processing new applications, renewals, and enrollment transactions for Medicaid, CHPlus, BHP, and QHPs no later than July 1, 2030.
- **Open Enrollment 2030 Readiness** – Open Enrollment for Coverage Year 2031 begins in November 2030. All QHP, BHP, CHPlus, and MAGI Medicaid populations must be available in the Converged E&E System prior to the start of Open Enrollment. Renewal notices must be generated by the beginning of October 2030, with renewals processing by November 2030.
- **Legacy System Sunset** – Existing NYSOH System operations and associated State contracts are scheduled to conclude by June 2031. All active populations and supporting system functionality must be migrated and operational within the Converged E&E System prior to the contractual sunset of the legacy systems.

- **Implementation Window** – Contractor onboarding and Transition-In will commence in July 2028, establishing an implementation window of approximately twenty-four (24) months for DDI activities.
- **CMS Certification** – Following implementation of the full Converged E&E System, the Department will require support to obtain certification(s) from CMS. Additional information is provided in **Section 5.2.10 – Centers for Medicare & Medicaid Services Certification and Compliance**.

Figure 14 presents the high-level implementation timeline for the Converged E&E System.

Figure 14 – High-Level Implementation Timeline



B. Guiding Principles

The following guiding principles govern the Contractor's implementation approach and must be reflected in all planning documents, project schedules, and delivery activities:

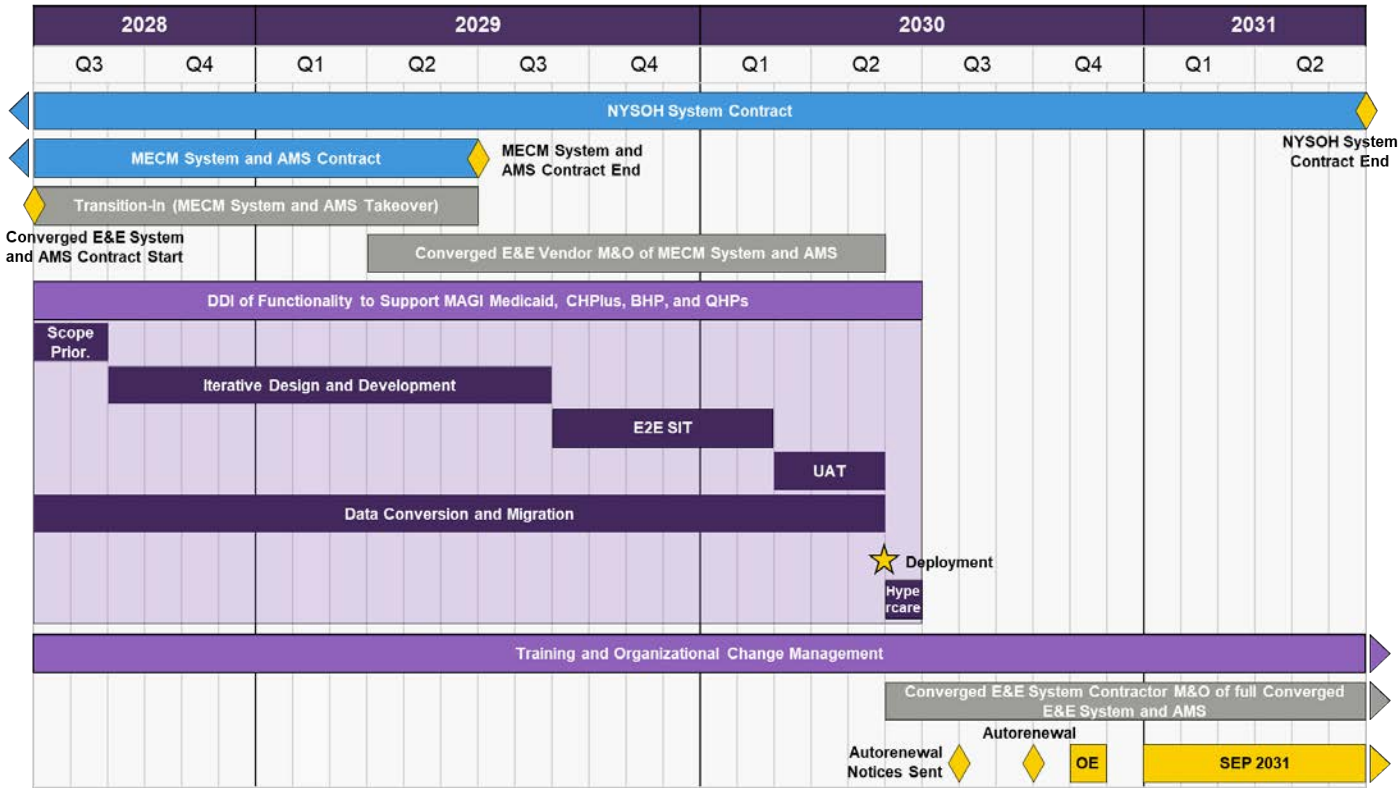
- **E2E Coverage** – The Converged E&E System must handle E&E determinations for all program types, including Medicaid, CHPlus, BHP, and QHPs, within a single, unified technical platform. The implementation approach must account for the full breadth of this scope from the outset of planning.
- **Consumer Continuity** – All actively enrolled consumers must experience uninterrupted coverage throughout the implementation. No consumer should experience a coverage gap or overlapping coverage that is not explicitly permitted as a result of system migration activities. Mitigation strategies, including parallel processing and phased cutover, must be incorporated into the Contractor's implementation plan.
- **Incremental Value Delivery** – Each release must deliver production-ready, tested functionality. Incremental value must be demonstrable at each release milestone, with no critical functionality deferred to subsequent releases in order to achieve operational status.
- **Regulatory Alignment** – The implementation must align with Department-established OHIP Standards, CMS MITA objectives, and applicable federal regulations, including 42 CFR § 433.112 and ACA requirements.
- **Integration Completeness** – The Converged E&E System must be fully integrated with all required external systems and interfaces prior to production deployment. No deployment may occur with unresolved critical interface deficiencies.
- **Full Traceability** – The Contractor must establish and maintain complete traceability across business requirements, design, development, testing, and Deployment. All production releases must be traceable to approved requirements and completed test evidence in the Department's system of record (i.e., Jira).

C. Implementation Timeline and Phases

The Contractor's implementation must be executed within an approximately twenty-four (24)-month DDI window. It is anticipated that Contractor onboarding will begin in July 2028, and the Converged E&E System must be production-ready no later than July 1, 2030.

This section describes the required activities within each implementation phase. **Figure 15** depicts an example of what the implementation timeline could look like, but the Contractor is responsible for proposing a detailed schedule that achieves all required outcomes within the established window.

Figure 15 – Example Implementation Timeline



C.1 Phase 1: Transition-In and Implementation Foundation

Phase 1 encompasses Contractor onboarding and all foundational activities required before substantive design and development work may commence. The Contractor must complete all Transition-In requirements, as detailed in **Section 5.2.3 – Transition-In**, and all applicable PM requirements, as detailed in **Section 5.2.2 – Project Management**, to establish the project infrastructure, staffing, and technical foundation for the twenty-four (24)-month DDI effort.

As a part of the Transition-In SA Assessment Report (refer to **Section 5.8 – Deliverables**), the Contractor must conduct a current-state analysis of the MECM System, the AMS, and related integrations. At a minimum, the Contractor must:

- Complete a current-state analysis of all populations, programs, and business processes to be supported by the Converged E&E System.
- Document all known interfaces and integration points between the NYSOH System, MECM System, and external partner systems, including federal agency connections (e.g., CMS Federal Data Services Hub [FDSH], SSA, IRS), State agency connections, and managed care plan interfaces. Refer to **Section 5.2.5.1.F – System Integration** for additional details.
- Identify and document technical debt, known defects, and legacy constraints in existing systems that may affect implementation of the Converged E&E System.

C.2 Phase 2: Iterative Design and Development

Phase 2 encompasses the iterative design and development activities of the SDLC for the Converged E&E System. Additional details regarding Contractor responsibilities are provided in **Section 5.2.5.3 – Solution Development Life Cycle** and **Section 5.2.5.4 – Data Conversion and Migration**.

By the conclusion of Phase 2, all Converged E&E System functionality described in **Section 5.2.5.2 – Business Requirements**, including capabilities for QHPs, non-QHPs, Small Business Health Options Program (SHOP), Medicaid, BHP, and CHPlus, must be complete and ready for system testing.

C.3 Phase 3: System Testing

Phase 3 includes execution of system testing across all programs, interfaces, and supported use cases. This phase must be completed prior to Deployment Procedure Reviews (refer to **Section 5.2.5.6 – Deployment**) and must demonstrate readiness of the Converged E&E System to operate at full production scale. System testing activities are further described in **Section 5.2.7 – System Testing**.

C.4 Phase 4: Training

Prior to any release into production, the Contractor must work with the Department to ensure that appropriate staff, including Customer Service Center staff and Assistors, are adequately trained on new functionality. Refer to **Section 5.2.5.5 – Training** for additional details.

C.5 Phase 5: Deployment and Hypercare

Phase 5 includes production deployment, program activation, execution of data migration, and post-Go-Live stabilization activities for all Converged E&E System functionality. Phase 5 activities are described in **Section 5.2.5.6 – Deployment** and **Section 5.2.5.7 – Hypercare**.

D. Program Implementation Strategy

The Department will collaborate with the Contractor to determine the optimal implementation strategy for all programs supported by the NYSOH System. The Contractor must document the implementation strategy in the Converged E&E System and AMS Project Roadmap (refer to **Section 5.8 – Deliverables**). To mitigate risks for households with mixed-program eligibility, the Department requires MAGI Medicaid, BHP, CHPlus, and QHPs programs to be live in the Converged E&E System prior to Open Enrollment 2030. The Contractor must develop a comprehensive implementation schedule that encompasses all programs supported by the NYSOH System which may include phased Releases. The implementation schedule must be approved by the Department.

E. Cloud-Native Architecture and Microservices

As part of the Department's modernization strategy, the Converged E&E System will use a modular, microservices-based architecture deployed on the existing AWS cloud platform.

The Contractor must design and develop all components of the Converged E&E System using a modular, cloud-native architecture. The Contractor must use a microservices model to establish a modern technology environment by decomposing the application into independent, scalable microservices. This approach includes the DDI of service components to achieve cloud-native optimization while maintaining data integrity, compliance, and seamless operations. These microservices must enhance flexibility, scalability, resilience, compliance, and operational efficiency. The Converged E&E System must deploy cloud-native capabilities, including containerization, container orchestration, serverless computing, and automated orchestration.

A microservices architecture is an approach to software development in which a single application is composed of a collection of small, autonomous services. Each service is self-contained, focused on a specific business capability, and can be developed, deployed, scaled, and maintained independently by cross-functional teams.

These services communicate with one another through well-defined APIs, typically using lightweight protocols such as HTTP, REST, or MQs. Each service may use its own data storage technology to support decentralized data management. This approach contrasts with monolithic architectures by promoting loose coupling, resilience to failures, and evolutionary design, enabling faster iteration and improved alignment with business needs.

The Converged E&E System must use a microservices architecture and must demonstrate adherence to the following principles:

- **Service Decomposition** – The application must be decomposed into independent services organized around the Department's business domains, such as user authentication, data processing, and reporting. The Contractor must specify bounded contexts to avoid creating a distributed monolith and outline any applicable incremental migration patterns, such as the Strangler Fig, if used.
- **Technology and Governance** – The Contractor must apply a decentralized approach that allows services to use appropriate programming languages and persistence technologies, while emphasizing shared interoperability practices, such as API contracts and tolerant readers for versioning.
- **Communication and Integration** – The Contractor must implement mechanisms for inter-service communication (e.g., synchronous HTTP or asynchronous event-driven messaging), including strategies for handling eventual consistency, sagas for distributed transactions, and circuit breakers for fault tolerance.
- **Deployment and Operations** – Infrastructure automation, CI/CD pipelines, containerization (e.g., Docker), container orchestration (e.g., Kubernetes), and monitoring tools must enable independent deployments and real-time failure detection. Refer to **Section 5.2.5.6 – Deployment** and **Section 5.2.4 – Maintenance and Operations** for additional details.
- **Security and Compliance** – Security and privacy must be embedded at the service level, including API gateways, authentication and authorization, and data encryption, while maintaining compliance with applicable standards. Refer to **Section 5.7 – Security and Privacy** for additional details.
- **Scalability and Performance** – The Converged E&E System must support horizontal scaling of individual services, efficient resource optimization, and performance testing in a distributed environment. Refer to the OHIP Infrastructure & Operations Domain Document, Infrastructure Management Standard for additional details.
- **Team Structure and Ownership** – The Contractor's team must be organized to drive holistic accountability of E2E services, including ongoing maintenance and direct collaboration with Department stakeholders.

The Converged E&E System must be structured into modules. In collaboration with the Department, the Contractor must gather and document detailed requirements from key Department stakeholders to refine module definitions, align with business needs, and support the modular design.

As described in **Section 3.3.2.1 – Medicaid Eligibility and Client Management System Cloud-Native Architecture**, the MECM System already leverages a modular architecture that the Contractor must continue to build upon to develop the Converged E&E System. The Contractor must assess the functionality provided by the current MECM System and determine which modules require further development to support the requirements of this RFP. In addition, while the Issuer Portal and Employer Portal exist in the NYSOH System, they do not exist the MECM System today and must be built into the Converged E&E System by the Contractor. The Contractor may propose alternative or additional configurations, with appropriate justification, for Department approval. Refer to **Section 5.2.5.2 – Business Requirements** for additional details.

Furthermore, the Converged E&E System must leverage ESS provided by the Department or a third-party vendor. While the Contractor will initially be responsible for HMID, lakehouse, analytics, and reporting capabilities, the Contractor must leverage those capabilities once they transition to the EDW.

If shared services and capabilities provided by the Department, EDW, or another third-party vendor are not available in time to be leveraged during initial deployments of the Converged E&E System, the Converged E&E System must build those capabilities within the Converged E&E System for its business scope Refer to **Section 6.4 – Department Reserved Rights** for additional details.

F. System Integration

The Converged E&E System must be fully integrated with all required external systems prior to production deployment. The Contractor is responsible for developing, testing, and certifying all interfaces required to support the in-scope programs for each release. No production deployment may occur with unresolved critical interface deficiencies.

F.1 Interface Categories

The Contractor must develop and maintain integration catalog within the Integration Technical Design Document (ITDD) and an Interface Control Document (ICD) for each interface. Interfaces between the Converged E&E System and external systems must be routed through the current Enterprise Service Bus (ESB) and API Gateway. Additionally, the Department intends to build enterprise-wide integration services. Once those services become available, the Contractor must leverage those services at the direction of the Department. Refer to **Exhibit G.25 – Converged E&E System and AMS Interfaces** for additional details on current-state interfaces.

At a minimum, the Converged E&E System requires interfaces with the following external system categories:

- **FDSH and CMS** – Includes SSA Composite (Relational Junction 3 [RJ3]), Verify Lawful Presence (VLP), Verify Annual Household Income (VAHI), Advance Payment Computation (APC), Persistent Volume Claim (PVC) Death Match, and Non-Employer-Subsidized Insurance (Non-ESI) Minimum Essential Coverage (MEC), State-Based Marketplace Inbound (SBMI), 1095 filing, and other required CMS reports
- **State Agencies** – Includes the following:
    - OTDA (WMS clearance, Clearance Number assignment, CBIC, SNAP, newborn notification)
    - DCJS (local incarcerations)
    - DOCCS (incarceration)
    - Department of Labor (DOL) (unemployment insurance)
    - Department of Taxation and Finance (DTF) (wage reporting)

- DFS (broker data)
- Board of Elections (BOE) (voter registration)
- DMV
- OPWDD
- OMH
- ITS

- **NYC Agencies** – Includes the following:
  - HRA
  - DOC

- **Other NYS Entities** – Includes the following:
  - Cancer Services Program (CSP)
  - Consumer Directed Personal Assistance Program (CDPAP)
  - Donate Life Registry (DLR)
  - New York State Health Insurance Program (NYSHIP)
  - Provider Network Data System (PNDS)
  - SDRU

- **Other MES Modules** – Includes the following:
  - **MMIS Modules** – Includes public MEC checks, Third-Party Liability (TPL) and Recipient Restriction Exception (RRE), enrollment transactions (EDI 834 and 999), force close, and Dual Eligible Special Needs Plan (D-SNP)
  - **EDW** – Includes replacement of all existing data interfaces currently routed to the MDW and APCD with equivalent interfaces to the new EDW (including the necessary interfaces to support Transformed Medicaid Statistical Information System [T-MSIS] activities), as well as new or enhanced interfaces required to support reporting, analytics, and lakehouse capabilities provided by the EDW vendor
  - **UAS-NY** – Includes assessment information for the statewide assessor, NYIAP, and other assessments for long term care services and OPWDD
  - **Customer Service and Operations** – Includes the Customer Service Workflow Management System, Customer Service System interactive voice response (IVR) integration, contact search, document upload, LDSS referrals, and AMS interfaces

- **MCOs and Issuers** – Includes EDI 834 enrollment transactions, effectuation transactions, and confirmation transactions with QHP issuers
- **Notification and Print Services** – Includes Short Message Service (SMS), WhatsApp, and email notification gateway, notice print and mail vendors, and alternate-format notice vendors
- **Third-Party Services** – Includes address validation, payment gateways, asset verification, System for Electronic Rate and Form Filing (SERFF) templates, and all other required State and federal verifications

Refer to **Section 5.8 – Deliverables** for additional information on the ITDD and ICDs.

F.2 Interface Certification Requirements

Each interface must meet all of the following certification requirements prior to advancing to the production deployment phase for the release that includes the interface:

- Successful bidirectional transaction testing in the SIT environment, including issuer testing, with documented results demonstrating correct data exchange, error detection, and recovery
- Confirmation from the trading partner that the interface has been accepted in the trading partner environment and documented through a signed interface certification acknowledgement
- Performance testing demonstrating that the interface meets required throughput and response-time thresholds under peak load conditions

G. Implementation Risks and Constraints

This section describes the constraints and risks that must be considered throughout the implementation.

G.1 Constraints

The Contractor must consider the following constraints when designing the implementation plan:

- **Legacy Contract End Dates** – The NYSOH System contract is scheduled to conclude in June 2031. All active programs must be operational in the Converged E&E System, and the legacy NYSOH System must be fully decommissioned, on a schedule consistent with this contractual endpoint.
- **Open Enrollment 2030 Deadline** – The November 2030 Open Enrollment period is a firm regulatory deadline, with no extensions available. All QHP functionality and renewal capabilities must be operational prior to this date, with associated SLA penalties if not met (refer to **Attachment F – SLAs**).
- **1095-A Tax Document Cutoff** – The 1095-A tax document for Coverage Year 2030 must be issued by the January 2031 IRS deadline. The Converged E&E System must be capable of generating and delivering 1095-A documents for all QHP consumers whose coverage year spans the system Cutover.
- **Customer Service Center and Assistor Support Readiness** – The Customer Service Center and Assistor network must be trained and operational on the Converged E&E System prior to each deployment. Training capacity constraints must be factored into Go-Live sequencing. Refer to **Section 5.2.5.5 – Training** for additional details.

G.2 Key Risks

This modernization effort is complex and with significant consumer and financial benefits to be realized for the Department. It is critical that the Contractor meet or exceed the Department's modernization goals and timeline as well as understand the degree of difficulty to achieve the goals and timeline. The Contractor must be aware of the risks anticipated by the Department and must work with the Department to mitigate the following:

- **Compressed Timeline** – The implementation timeline is constrained relative to the scale and complexity of the programs being migrated.
- **High-Volume Data Migration** – The volume of active NYSOH System accounts, combined with differences in data structures between the NYSOH System and the MECM System, presents execution risk within a constrained migration window. Refer to **Section 5.2.5.4 – Data Conversion and Migration** for additional details.
- **State and Federal Legislative and Regulatory Dependencies** – State and federal legislation and regulations, including H.R. 1 and related budget reconciliation activity, may alter program rules, eligibility criteria, or FFP requirements, affecting implementation scope.

- **In-Flight Transactions During Deployment** – Consumers reporting household or program changes at the time of migration must be supported without data loss or interruption of eligibility.
- **Limited Department Capacity** – Department staff have many responsibilities beyond the management of the Converged E&E System and AMS project. The Contractor will have to navigate effective communication with Department stakeholders who have limited bandwidth.

5.2.5.2 Business Requirements

This section outlines the business requirements for the Converged E&E System and the AMS. The Contractor must meet or exceed the requirements described in this section.

The business requirements provided in **Attachment E – RFP Requirements Matrix** consist of the following:

- New functionality required to meet the business needs of the capabilities described in this section
- Descriptions of functionality required to support the programs currently administered through the NYSOH System

Successful fulfillment of the business requirements is defined as achieving full functional parity with all existing NYSOH System capabilities, combined with the successful delivery and integration of the capabilities defined in this RFP. That said, the Department encourages the Contractor to propose approaches that may improve business processes and functionalities supported by the Converged E&E System and AMS. In addition, the Converged E&E System and the AMS must adhere to all requirements that govern the MECM System and the AMS as defined at the conclusion of the Transition-In period.

Development of the MECM System is ongoing. Current requirements are documented in **Exhibit G.12 – Current MECM System and AMS Requirements Traceability Matrix**. The Department will provide the Contractor with an updated version of the MECM System and AMS Requirements Traceability Matrix (RTM) during the Transition-In period.

The Converged E&E System must provide a uniform and seamless experience for all consumers, regardless of the program for which they may be eligible. This experience must span the full consumer journey, beginning with anonymous browsing, progressing to secure account access, and continuing through the application and enrollment life cycle.

The Contractor must deliver a single, dynamic application that leverages the Department's BRE. The application must dynamically display sections and specific questions in real time based on consumer-provided information during the application process.

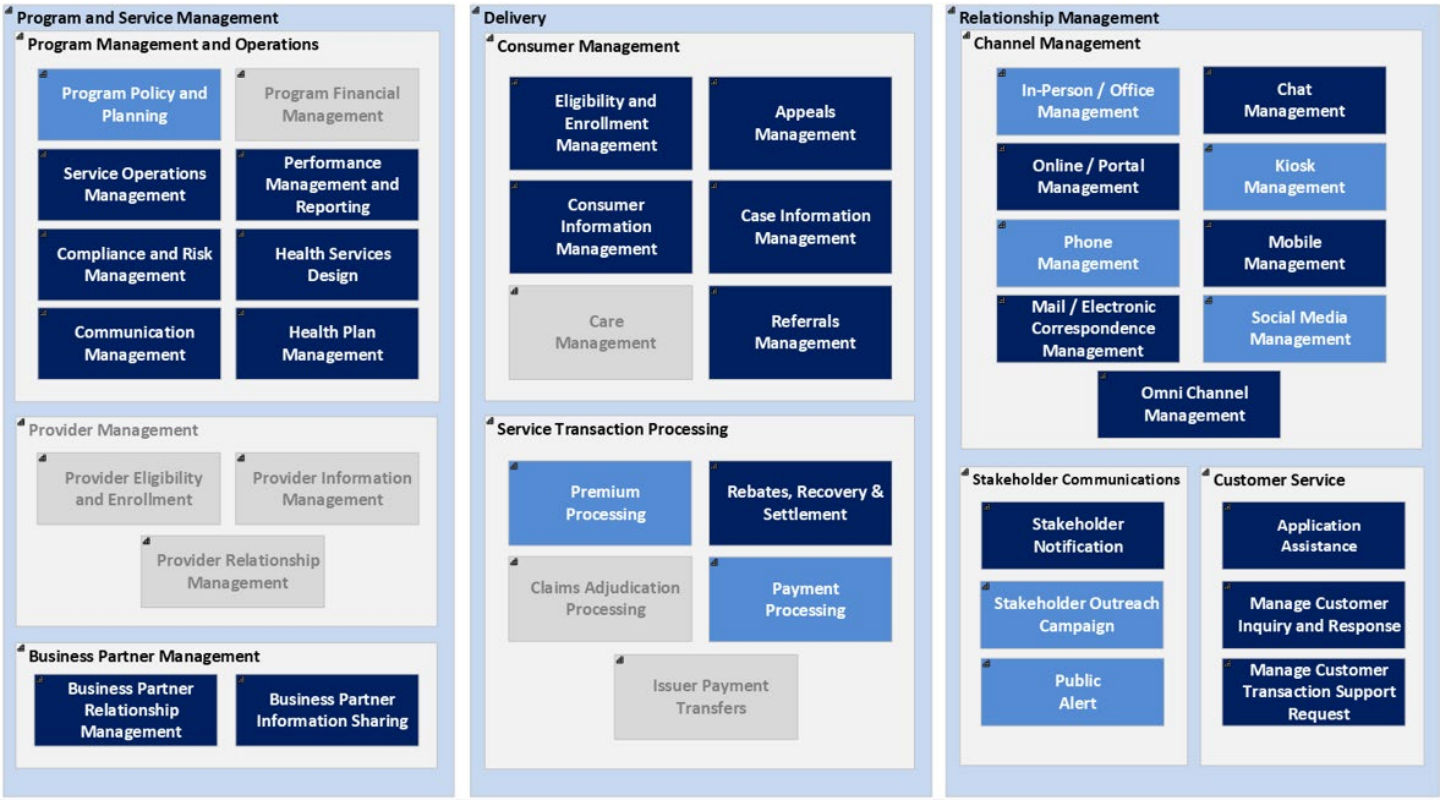
In addition to the Member, Worker, Assistor, and Partner portals that will exist in the MECM System by the time of Contractor Transition-In, the Contractor must expand the Converged E&E System to include additional dedicated portals tailored to specific user roles. These include, at a minimum, the following:

- **Issuer Portal** – Secure portal supporting health plan certification and the management of plan information, provider directories, and relevant operational data
- **Employer Portal** – Secure portal supporting the SHOP, enabling employers to manage determinations

In addition, the Department is interested in potential use cases for a mobile application (iOS and Android) that would have target mobile features to supplement the fully functional mobile responsive Converged E&E System. The Contractor is encouraged to assess the current mobile footprint and recommend solutions that improve access to key services and functions while explicitly avoiding a full replication of the primary mobile responsive Converged E&E System.

The business requirements align with the core business capabilities identified by the Department as essential to operation of the Converged E&E System. High-level business capabilities for the Converged E&E System and the AMS are presented in **Figure 16** and described in the sections that follow. Some capabilities may not be fully in scope for the Converged E&E System.

Figure 16 – Converged E&E System and AMS Business Capability Model



Detailed business capability models and definitions for each in-scope core and integration capability are provided in **Exhibit G.24 – Converged E&E System and AMS Business Capability Model and Definitions**.

A. Customer Service

These capabilities support consumers and Customer Service Center workers in performing essential functions to assist consumers. While the detailed operational processes are not in scope for the Contractor and are the responsibility of the Customer Service Center, specific functionality within the Converged E&E System is required to support those processes.

Table 10 lists the customer service capabilities and brief descriptions of their anticipated functions. A complete list of capabilities and definitions is provided in **Exhibit G.24 – Converged E&E System and AMS Business Capability Model and Definitions**.

Table 10 – Customer Service Capabilities

Capability	Description of Functions
Application Assistance	Focuses on providing direct help to consumers during application, renewal, and eligibility redetermination processes and includes, at a minimum, the following: • Guided navigation and help text • Assistor support tools

Capability	Description of Functions
	• Document upload and validation support • Error and incompleteness resolution
Manage Consumer Inquiry and Response	Manages the intake, routing, and resolution of general consumer questions that are not tied to a specific transaction or active support requests and includes, at a minimum, the following: • Multichannel inquiry intake • Knowledge base and FAQ management • Inquiry routing and triage • Response management
Manage Consumer Transaction Support Request	Manages consumer how-to and issue resolution requests related to specific account actions or transactions and includes, at a minimum, the following: • Transaction support intake • Troubleshooting and diagnostics • Request fulfillment and escalation • Case and ticket management

B. Stakeholder Communications

This capability outlines functions that support notifications, outreach campaigns, and public alerts to keep relevant stakeholders informed. In this context, stakeholders may include consumers, health plans, providers, community partners, government agencies, and the general public.

Table 11 lists the stakeholder communications capabilities and brief descriptions of their anticipated functions. A complete list of capabilities and definitions is provided in **Exhibit G.24 – Converged E&E System and AMS Business Capability Model and Definitions**.

Table 11 – Stakeholder Communications Capabilities

Capability	Description of Functions
Stakeholder Notifications	Manages the process of sending targeted, often automated, communications to specific stakeholder groups based on predefined events or criteria and includes, at a minimum, the following: • Audience segmentation • Template and content management • Event-triggered automation • Delivery and tracking
Stakeholder Outreach Campaign	Manages the E2E process of planning, executing, and measuring coordinated, multi-channel campaigns designed to achieve specific strategic goals and includes, at a minimum, the following: • Campaign planning and design • Execution and coordination • Performance measurement and analytics • A/B testing and optimization
Public Alert	Supports dissemination of urgent or high-priority information to a broad audience, including the general public and other stakeholders, critical system-wide events and includes, at a minimum, the following: • Alert activation and authorization • Multichannel broadcast • Content formulation • Status updates and resolution communication

C. Channel Management

These capabilities support coordinated communication across multiple channels to assist consumers and facilitate consistent service delivery. The Department envisions a comprehensive, omni-channel approach that supports accessibility, consistency, and a consumer-centered experience.

Table 12 lists the channel management capabilities and brief descriptions of their anticipated functions. A complete list of capabilities and definitions is provided in **Exhibit G.24 – Converged E&E System and AMS Business Capability Model and Definitions**.

Table 12 – Channel Management Capabilities

Capability	Description of Functions
Online/Portal Management	Provides access to self-service web portals for consumers and business partners and includes, at a minimum, the following: • Application and account management • Content management system • Member Portal • Worker Portal • Assistor Portal • Issuer Portal • Employer Portal • Partner Portal
Social Media Management	Integration capability to support social media channels for outreach and information dissemination, excluding case-specific interactions, and includes, at a minimum, the following: • Public information campaigns • Brand and sentiment monitoring • Inquiry triage
Chat Management	Manages real-time text-based support interactions and includes, at a minimum, the following: • Live chat • Chatbots • Transcript and history
Mobile Management	Focuses on providing services through mobile devices and includes, at a minimum, the following: • Responsive web design • SMS and text notifications • WhatsApp notifications
Mail/Electronic Correspondence Management	Manages physical correspondence and document handling and includes, at a minimum, the following: • Notice generation and mailing • Document imaging
Omni Channel Management	Supports a seamless and consistent consumer experience across interaction channels and includes, at a minimum, the following: • Unified customer profile • Cross-channel continuity • Integrated analytics

D. Consumer Management

These core capabilities work together to support an accurate, efficient, and user-friendly E&E process for both consumers and workers.

Table 13 lists the consumer management capabilities and brief description of their anticipated functions. A complete list of capabilities and definitions is provided in **Exhibit G.24 – Converged E&E System and AMS Business Capability Model and Definitions**.

Table 13 – Consumer Management Capabilities

Capability	Description of Functions
E&E Management	Supports a "one (1) application for all" approach by leveraging dynamic application rules to tailor questions based on Department-defined criteria, serving as the primary engine of the system, and includes, at a minimum, the following: • Application intake and processing • Verification and validation • Engine rules and determination • Enrollment and renewal • Anonymous browsing
Consumer Information Management	Focuses on maintaining a single, secure, and comprehensive record for each individual who interacts with the system and includes, at a minimum, the following: • Master Person Index (MPI) • Data management and history • Consent and preference management
Appeals Management	Manages the formal process for consumers who wish to file an appeal and serves as an integration point with AMS
Case Information Management	Provides workers and other authorized staff with tools and information to manage work activities effectively and includes, at a minimum, the following: • Task and workflow management • Document and notes management • Quality review • Data management

E. Service Transaction Processing

This capability manages various transactions related to health plan issuers. The Department may leverage these capabilities now or in future enhancements. The Department will not introduce consumer premium payment functionality for BHPs and QHPs at this time. Examples of supported transactions include the following:

- Calculating correct premium amounts for individuals or families based on program rules, income levels, and household size
- Initiating processes for coverage termination due to nonpayment
- Managing issuance of refunds for overpayments and calculation and distribution of applicable premium rebates to issuers

Table 14 lists the service transaction processing capabilities and brief descriptions of their anticipated functions. A complete list of capabilities and definitions is provided in **Exhibit G.24 – Converged E&E System and AMS Business Capability Model and Definitions**.

Table 14 – Service Transaction Processing Capabilities

Capability	Description of Functions
Premium Processing	Manages the E2E life cycle of billing and premium activities and includes, at a minimum, the following: • Premium calculation • Premium application • Delinquency and grace period management
Payment Processing	Handles secure processing of inbound and outbound payments and administration of applicable rebates and includes, at a minimum, the following: • Payment gateway integration • Refund and rebate administration • Financial reconciliation • Transaction auditing
Rebates, Recovery and Settlement	Identifies and recovers improper payments or debts, manages final settlement of financial accounts, and includes, at a minimum, the following: • Improper payment identification • Debt calculation and notification • Recovery and collections

F. Business Partner Management

Business partners are defined as Assistors, brokers, Navigators, CACs, and any additional roles defined by the Department. This capability focuses on establishing and maintaining effective working relationships with external entities involved in the E&E ecosystem. Functions include, at a minimum, the following:

- Managing the process for vetting, approving, and onboarding new business partners
- Executing required agreements and establishing system access
- Monitoring business partner performance against defined metrics
- Managing business partner activities

Table 15 lists the business partner management capabilities and brief description of their anticipated functions. A complete list of capabilities and definitions is provided in **Exhibit G.24 – Converged E&E System and AMS Business Capability Model and Definitions**.

Table 15 – Business Partner Management Capabilities

Capability	Description of Functions
Business Partner Relationship Management	Focuses on establishing and maintaining relationships with business partners and includes, at a minimum, the following: • Partner onboarding and credentialing • Governance and oversight of performance management • Issue and escalation management
Business Partner	Governs secure and efficient data exchange between the Converged E&E System and its business partners and includes, at a minimum, the following: • Data sharing agreements and policies

Capability	Description of Functions
Information Sharing	• Interface development and management • Data reconciliation and error handling • Security and auditing

G. Program Management and Operations

This capability focuses on architecting and managing the programs delivered through the Converged E&E System. Example activities include the following:

- Enhancing the E2E process for individuals and employers applying for benefits
- Creating reporting to support monitoring of program performance and data
- Creating and managing communications required to support the Converged E&E System

Table 16 lists the program management capabilities and brief descriptions of their anticipated functions. A complete list of capabilities and definitions is provided in **Exhibit G.24 – Converged E&E System and AMS Business Capability Model and Definitions**.

Table 16 – Program Management Capabilities

Capability	Description of Functions
Health Services Design	Focuses on consumer experience and service design and includes, at a minimum, the following: • **Consumer Journey Mapping** – Designing and documenting the E2E process for individuals and families applying for, renewing, and managing health benefits • **Rules and Policy Definition** – Defining rules for the health and human services programs the system will support • **Requirements Development** – Translating business needs and policy requirements into detailed functional and nonfunctional specifications
Health Plan Management	Manages interactions among the State, consumers, and MCOs or other health plans through the Issuer Portal and includes, at a minimum, the following: • Plan integration • Enrollment and disenrollment processing • Capitation and payment support • Plan performance monitoring
Service Operations Management	Supports efficient day-to-day operation of the Converged E&E System, with an emphasis on meeting established quality standards, and includes, at a minimum, the following: • Intake and case management • User support • System maintenance and operational readiness
Performance Management and Reporting	Provides actionable insights into performance of the Converged E&E System and includes, at a minimum, the following: • Dashboard development • Federal and State reporting • Ad hoc reporting and analytics • Data governance and quality
Compliance and Risk Management	Supports adherence to applicable laws, regulations, and policies and includes, at a minimum, the following: • Regulatory monitoring • Security and privacy

Capability	Description of Functions
	• Audit and QA • Risk identification and mitigation
Communication Management	Manages communications with internal and external stakeholders and includes, at a minimum, the following: • Stakeholder engagement • Consumer communications • Public information • Internal communications

5.2.5.3 Solution Development Life Cycle

For the initial DDI of the Converged E&E System, the Contractor must use the Hybrid Iterative Development SDLC methodology described in this RFP and in the OHIP Solution Delivery Domain Document, SDLC Standard. For DDI efforts outside of the initial implementation, the Department reserves the right to assign the use of a different SDLC methodology. Refer to **Section 5.2.8 – Major System Updates, Capacity-Based Team, and Enhancements** for additional details.

A. Hybrid Iterative Development Approach

Understanding the Hybrid Iterative Development SDLC methodology that must be used to implement the Converged E&E System is critical to aligning expectations among all stakeholders. This methodology must serve as a guide during execution of the SOW.

The primary objectives of the Hybrid Iterative Development SDLC methodology are as follows:

- Conduct DDI at a pace and rhythm familiar to the Department such that all implementation milestones are met on time
- Enhance DDI flexibility by enabling the Contractor's development team to actively incorporate stakeholder input into SDLC processes
- Allow stakeholders to provide feedback early in the development process by using functional protypes and solutions that can be explored and observed
- Respond to stakeholder feedback in a timely manner
- Elaborate business requirements while maintaining a clear and structured progression
- Establish consistent processes and standards across each Release and among stakeholders
- Provide rigorous governance across the full project life cycle and support incremental delivery of functionality and value through time-boxed iterations
- Promote collaboration across teams by clearly defining responsibilities that support efficient use of stakeholder time

The methodology progresses through the following phases:

1. Scope Prioritization
2. Iterative Design and Development

    a. Requirements
    b. Design
    c. Development
    d. SIT
    e. Solution Exploration

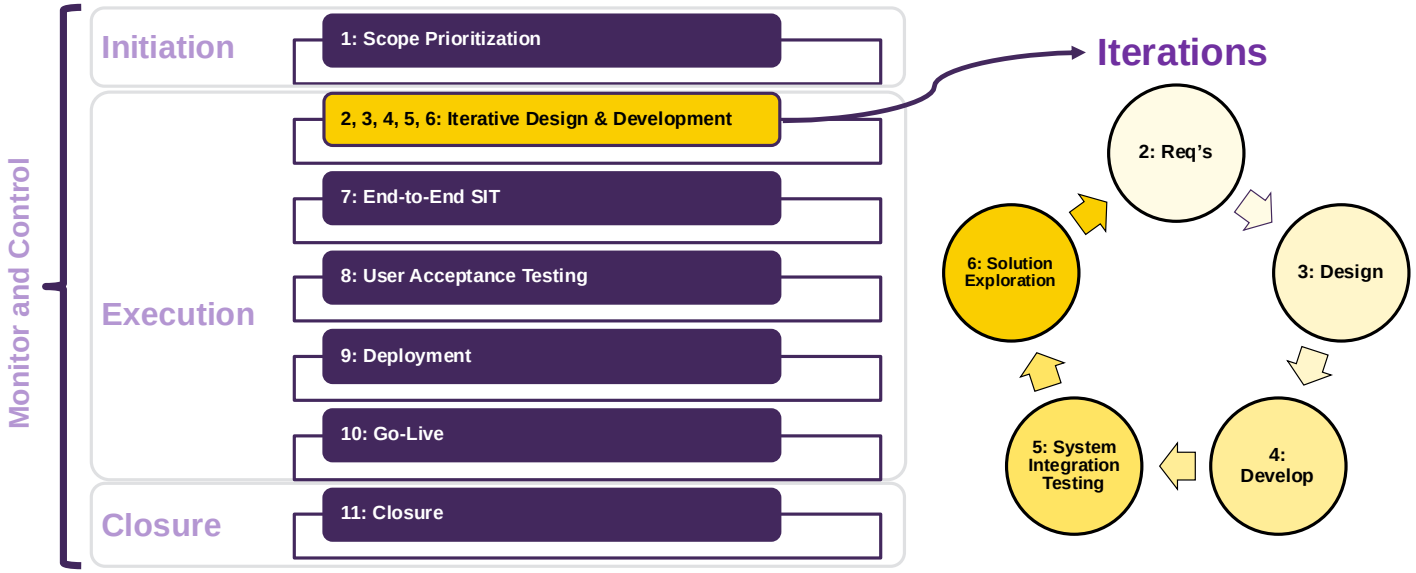
3. E2E SIT
4. UAT
5. Deployment
6. Go-Live
7. Closure

Monitor and control activities are maintained continuously throughout all phases.

Multiple iteration cycles are executed, with each cycle building on the verified output of the previous cycle. Requirements are elaborated at the beginning of each iteration for the capabilities in scope for that cycle to support design and development activities grounded in fully defined and Department-approved requirements.

Where stakeholder engagement permits, phases across different Releases may run in parallel to accelerate the timeline. This hybrid model enables multiple Releases with continuous feedback while preserving the structure necessary for compliance. **Figure 17** presents this approach. Refer to the OHIP Solution Delivery Domain Document, SDLC Standard for full details of the Hybrid Iterative Development SDLC methodology.

Figure 17 – Hybrid Iterative Development SDLC



B. Requirements Management Plan

The Contractor must apply a framework for how requirements will be gathered, documented, classified, standardized, maintained, validated, and tested throughout the Contract term, including how users of the Converged E&E System and the AMS will be involved in the process. The Requirements Management Plan must outline clear approaches and methodologies for achieving and maintaining requirements traceability. The Contractor must document requirements, make them accessible to appropriate stakeholders, and maintain a clear record of each requirement's change history. As part of the Requirements Management Plan, the Contractor must align with industry best practices as described in **Attachment E – RFP Requirements Matrix**.

The Department recognizes the following three (3) main types of requirements:

- **Functional** – Functional requirements necessary to meet stakeholder business needs and focus on specific features, behaviors, inputs, and outputs of the Converged E&E System and the AMS
- **Nonfunctional** – Technical and security requirements necessary to support business functionality, operational objectives, and the methodologies and processes used to manage the Converged E&E System and the AMS
- **Contractual** – Contractual requirements that the encompass the services, tasks, and responsibilities the Contractor must fulfill

These requirements include, at a minimum, the categories listed in **Table 17**.

Table 17 – Requirement Types

Functional Requirements	Nonfunctional Requirements	Contractual Requirements
• Appeals • Assistor Portal • Eligibility • Enrollment • Issuer Portal • Employer Portal • Notices • Reports • Languages and Translation • Interfaces • Member Portal • Partner Portal • Support Functions • Worker Portal • Workload Management	• Technical o Application Architecture o Integration Architecture o Data Architecture o Infrastructure Architecture o Manageability o M&O o Reliability o Capacity and Scalability o Sustainability o Usability o Accessibility o Data Conversion and Migration (DC&M) • Security and Privacy o Privacy o Zero [0] Trust o Security Architecture o Cloud Security o Logging and Continuous Monitoring	• PM • Transition-In • Transition-Out • Office Facility • IT • Training • Organizational Change Management (OCM) • SLA Administration

The Contractor must maintain and update the RTM throughout the Contract term to reflect all requirements and their implementation status in the Production Environment.

In summary, the Department's Hybrid Iterative Development SDLC methodology is designed to support the planning, design, development, testing, and Deployment of functionality into the Converged E&E System, as well as Deployment of functionality into the AMS. It emphasizes the importance of the Contractor's ability to meet the Department's needs effectively. The Hybrid Iterative Development SDLC methodology supports the timely delivery of defect-free functionality configured to the unique and evolving needs of the Department through the following:

- Facilitating iterative progress through multiple Releases
- Incorporating continuous feedback
- Maintaining flexibility to accommodate changes

All phases are managed systematically and in alignment with the Department's objectives.

B.1 Business Analysis Quality Assurance Framework

The Contractor must establish and operate a Business Analysis QA (BAQA) program that delivers consistent, traceable, and implementation-ready requirements and maintains RTM readiness across all delivery increments. The BAQA program must define the methods, artifacts, review gates, and metrics used to validate business needs and prepare work for execution.

As a part of the Requirements Management Plan, the Contractor must include a BAQA Plan that describes the standards, templates, tools, review cadences, metrics, and escalation paths that govern BAQA. The plan must be applied during Scope Prioritization and maintained throughout all phases of the SDLC.

The Contractor must establish standards, consistent with those defined by the Department, for use cases, acceptance criteria, and nonfunctional requirements and must maintain E2E traceability from business objectives through requirements, test cases, and Releases. To support high-quality requirements, the Contractor must use structured elicitation, rapid prototyping, and usability testing for high-risk items, as well as asynchronous validation when subject matter expert (SME) availability is limited.

The Contractor must implement peer reviews of requirements and scenarios prior to RTM commitment. No work item may enter an iteration unless it meets entry criteria and passes BAQA peer review. Any exception must include a documented mitigation plan tracked to closure. Entry criteria must include, at a minimum, the following:

- Linkage to business objectives and applicable policy and process references
- Behavior-Driven Development (BDD) acceptance criteria
- Identified dependencies and impacts
- Prototype or annotated artifacts for high-risk items
- Product owner and BAQA lead approval

The Contractor must track and report RTM readiness rate, requirements defects that escape to delivery, rework due to requirements gaps, peer review findings, and corrective actions. Regular BAQA status, including audit results and continuous improvement activities, must be provided to project leadership and made available to the Department upon request.

The Contractor must conduct periodic audits of requirements quality and traceability and capture lessons learned, with standards, checklists, and templates updated accordingly. The findings of this audit must be reviewed with the Department. The Contractor must also maintain tools and repositories that support version control and comment history and provide E2E linking traceability across objectives, use cases, tests, and Releases. These tools and repositories must align with the OHIP Infrastructure & Operations Domain Document, Preferred Operational Tools Standard.

Full details of SDLC requirements are provided in **Attachment E – RFP Requirements Matrix**.

C. Solution Development Life Cycle Considerations

The Department recognizes that the Hybrid Iterative Development SDLC succeeds only when real-world constraints are explicitly managed. MES modernizations have shown recurring risks, such as delayed decisions caused by limited SME availability, environments and test data that are not ready when needed, late testing of nonfunctional requirements (e.g., security, performance, accessibility, privacy), and cross-Release or interface dependencies that block work or require rework. These are not theoretical issues and, if unmanaged, they result in late-stage surprises, missed iteration goals, and avoidable defects.

The Contractor is expected to deliver early validation and measurable outcomes by designing their approach to mitigate these risks from Scope Prioritization onward using structured decision governance, shift-left testing,

and proactive dependency management. Progress must be evidenced rather than assumed through transparent metrics and quality gates. Refer to **Section 5.5.1 – Key Performance Indicators and Objectives and Key Results** for additional details.

The Contractor must apply appropriate reality-to-requirement guardrails including, at a minimum, the following:

- **RTM readiness** – Apply entry criteria so use cases enter iterations with testable BDD acceptance criteria, relevant policy and process references, identified dependencies, and at least two (2) iterations of entry-ready work maintained in the work queue by Scope Prioritization exit
- **Early validation cadence** – Demonstrate progress iteratively within each phase using working software or prototypes paired with usability testing involving real users and avoid long, sequential design or build phases within iterations
- **Environment and test data readiness** – Provide and maintain plans for SIT and UAT environment availability and representative test data, with functionality not considered complete without validation in appropriate environments
- **Nonfunctional requirements (NFR) shift-left** – Integrate nonfunctional requirements into the RTM as explicit use cases with acceptance criteria and execute incremental security, performance, and accessibility testing throughout iterations (refer to **Section 5.2.7 – System Testing**)
- **Dependency management** – Maintain a cross-Release and interface (including trading partners) dependency register, define no-start rules for blocked items, report dependency resolution time frames, and make blocked work visible
- **Transparent metrics** – Report, at a minimum, decision turnaround times, stakeholder participation (live and asynchronous), entry and exit criteria compliance, blocked work rates, dependency resolution times, requirements defect escape rates, and NFR adherence and incorporate variance analysis, corrective actions, and these metrics into the KPI and OKR frameworks (refer to **Section 5.5.1 – Key Performance Indicators and Objectives and Key Results**)

D. Human-Centered Design

The Contractor must embed HCD throughout the entire SDLC. End users or their designated proxies must be involved in discovery, design, and testing to support functionality that meets real user needs. The Contractor must:

- Translate user needs into RTM items with testable acceptance criteria that address plain language, accessibility, and usability.
- Maintain traceability from HCD findings to RTM changes and implemented features and record supporting evidence, such as summaries, test results, and decisions.

Refer to the OHIP Solution Delivery Domain Document, Usability and Accessibility Standard for information on usability and accessibility requirements applicable to the Converged E&E System and the AMS.

E. Shift-Left Validation

Shift-left validation moves requirements, testing, and security activities early in the SDLC to identify issues sooner and continuously confirm that the Contractor is building the correct solution (validation) and building it in the correct way (verification). To do so, the Contractor must:

- Define testable acceptance criteria using Test-Driven Development (TDD), BDD, and Specification by Example, as described in the OHIP Solution Delivery Domain Document, SDLC Standard.
- Enforce pull-request quality gates, as described in the OHIP Solution Delivery Domain Document, Test Management Standard, including the following:
    - Structured peer reviews
    - Unit tests validating individual codebase components
    - Static Code Analysis (SCA)
    - Static Application Security Testing (SAST)
    - Secret scanning for automated detection of sensitive credentials in testing assets
    - API contract testing to validate interface security, as described in the OHIP Secure API Development Baseline
- Automate CI/CD to execute fast checks on every commit and broader test suites, such as integration and performance smoke tests, on a nightly basis.
- Enforce gate promotion using agreed-upon thresholds.
- Apply shift-left security during design, as defined in the OHIP Security, Privacy, and Compliance Domain Document, Security and Privacy Compliance Standard, that addresses threat modeling during development through SAST and SCA and includes other approaches such as the following:
    - Infrastructure as Code (IaC) using versioned code to provision infrastructure, making environments repeatable, auditable, and CI/CD-automated
    - Container scan automated checks of images (sometimes running containers) to flag security and configuration issues pre- and post-Release
    - Secret detection
- Validate performance, reliability, and capacity early and continuously using budgets, SLAs, and automated checks, as described in the OHIP Solution Delivery Domain Document, SDLC Standard.
- Build in usability and accessibility from the start with WCAG 2.2 checks, assistive technology tests, and design reviews, as described in the OHIP Solution Delivery Domain Document, Usability and Accessibility Standard.
- Measure and enforce gates based on meaningful quality signals, as described in the OHIP Solution Delivery Domain Document, Test Management Standard, including the following:
    - Mutation score (percentage of code mutations killed by tests)
    - Static analysis thresholds
    - Vulnerability SLAs
    - Defect-escape rates

F. Preferred Collaboration Model

The Contractor must adopt the Department's preferred collaboration model for all SDLC activities and deliverables. As noted in the OHIP Solution Delivery Domain Document, SDLC Standard, close collaboration and seamless communication between the Department, the Contractor, and CMS is essential. Such collaboration may include co-authoring with designated Department leads, short and decision-oriented working sessions, and structured asynchronous reviews.

The Contractor must demonstrate that use cases effectively capture and communicate requirements in iterative environments. To support collaboration, the Contractor must publish a cycle-level Collaboration Plan with defined office hours and review windows that include, at a minimum, the following artifacts:

- End-of-iteration demos, including recorded walkthroughs for stakeholders unable to attend
- Concise pre-reads or decision packages distributed at least two (2) business days before sessions

G. Environment Promotion and Deployment Approval

The Contractor must follow the Department's formal approval process for all environment promotions and Deployments (DEV to SIT to UAT to Production). At least two (2) business days' notice is required prior to promotion.

Requests submitted with less than two (2) business days' notice must follow the conditional approval path and include documented risk and rollback plans. Promotions may proceed only with Department sign-off based on the following gate criteria:

- Integration Testing results reviewed and accepted prior to promotion from DEV to SIT and from SIT to UAT
- Consolidated defect log submitted and approved, including triage and thresholds (e.g., no open severity level one [1] or severity level two [2] defects unless explicitly waived)
- Environment readiness confirmed, including configurations, test data, monitoring or alerts, and rollback plan tested
- Release notes and approved change record, including PCC approval, attached with review documented by the QA Lead and Functional Manager, as applicable
- Code quality review that provides quantitative and qualitative measures to evaluate the codebase's maintainability, reliability, and efficiency review

H. Release Management Plan

The Contractor must update the Release Management Plan to describe the approach and procedures for managing and tracking Converged E&E System Releases, deploying Releases to system environments, and obtaining Department approval for Deployments into Production Environments and Releases.

The Release Management Plan must include, at a minimum, the following sections:

- Release Governance
- Key Roles and Responsibilities
- Scope Prioritization
- Planning Releases
- Building Releases
- Testing Releases
- Preparing Releases for Deployment
- Deploying Releases (including Rollback Process)
- Validating Releases
- Closing Releases

5.2.5.4 Data Conversion and Migration

The primary objective of Converged E&E System DC&M is to migrate data from the NYSOH System into the MECM System to create a Converged E&E System. DC reformats data for the target structure, while migration moves that data into the new system. The Contractor must complete DC&M as part of the Converged E&E

System implementation in compliance with the OHIP Data and Information Management Domain Document, DC Standard and Database Design Standard, which defines the target database structure, requirements, audit standards, and rules for loading converted data.

Fundamentally, DC&M must converge the NYSOH System and the MECM System into a single, person-centric source of truth for E&E while preserving program distinctions and maintaining continuity of operations. The Contractor is responsible for maintaining continuity of coverage, ensuring correct E&E status at Cutover, supporting alignment with partners and other systems, and establishing a secure, auditable data foundation delivered with minimal downtime and risk.

The Contractor must work collaboratively with the Department to plan DC&M from the NYSOH System to the MECM System to create the Converged E&E System.

A. Background

This section describes the current data environments for the MECM System and the NYSOH System and highlights key differences between them. Additional details on both systems are provided in **Section 3.3 – Current Systems Overview**.

A.1 Medicaid Eligibility and Client Management System Data Ecosystem

The MECM System uses several unique identifiers to track individuals and applications throughout their life cycle. These include the Application Number, Case Number, Member ID, and Clearance Number.

Data is stored in the following two (2) primary ways:

- **Case-Level Tables** – Case Number serves as the unique identifier and stores information relevant to the entire case, such as household address and communication preferences
- **Individual-Level Tables** – Member ID serves as the unique identifier for data specific to an individual, such as demographic information (Social Security number [SSN], date of birth), income, and health insurance policies, helps prevent data conflicts when a member is associated with multiple cases

The MECM System data ecosystem is designed to flow from core master data through the transactional application and case management system and is made available to users via the Worker Portal and the Member Portal. This data is then transformed and organized within reporting and analytics schemas to support insights. Reference data is used throughout to maintain consistency.

The MECM System data ecosystem consists of the following:

- **MDM** – Foundational layer, designed to serve as the single source of truth for core business entities (refer to **Section 3.3.2.8 – Master Data Management Strategy**)
  Key Data Domains: Party and demographics (individuals), organization (businesses), contact and location (addresses, phone), identifiers, and relationships among entities
- **Reference Data** – Layer providing consistency across the data ecosystem
  Key Data Domains: Code tables defining standardized values for elements such as case statuses, program types, genders, counties, and relationship types
- **Application and Case Management** – Core operational layer containing data captured and managed during the application and eligibility life cycle, including the following:
  - *Application* – Point-in-time transactional request for eligibility determination, with Application ID as the natural key
  - *Case* – Longitudinal record used to manage a household after eligibility is established, with Case Number as the natural key

- *Standard Process Flow* – Progression from a processed application to creation of a corresponding case

Key Data Domains: Application and submission details, household and member information, income and resources, expenses, evidence and verification, and eligibility and entitlement determination

- **Worker and Member Portal Databases** – Layer defining data required to support user-facing portals for workers and members (consumers), with data primarily stored at the individual member level, mapped to cases with additional case-level data, and using Member ID as the primary key, with the following components:

  - *Worker Portal* – Focuses on workload and task management, case ownership, and views, such as the application inbox, and serves as the source of truth for each case
  - *Member Portal* – Focuses on user account management, security , member-to-case linking, and communication preferences, with each member associated with a unique Member ID

- **Reporting and Analytics Schemas** – Data warehousing layer structured for analytics, business intelligence, and mandated reporting, divided into the following two (2) main parts:

  - *Lakehouse* – Subject-oriented layer containing fact and dimension tables for areas such as applications, enrollment, client demographics, caseloads, and staffing
  - *Analytics Layer* – User-facing layer providing aggregated views for reporting on topics such as application timeliness, enrollment trends, and staff performance

A.1.1 Medicaid Eligibility and Client Management System Processes

The MECM System's data architecture supports various automated and manual processes essential for Medicaid E&E, as follows:

- **Application Intake and Processing** – Process applications submitted through the Member Portal, including application registration, data collection, eligibility determination, enrollment, and plan selection, through the following:

  - *Application Creation* – Assign temporary application numbers and capture user-entered data, including demographics, income, and addresses
  - *Address Validation* – Validate addresses in real time during the application process using an external service (Experian Data Quality)
  - *Individual Clearance* – Identify existing members using the MDM platform and Clearance services to prevent duplication
  - *RTE* – Execute eligibility determination by transferring data from the Member Portal to the Worker Portal and applying eligibility rules
  - *Application Registration* – Convert completed applications from temporary Application Numbers to Case Numbers
  - *Enrollment* – Initiate enrollment based on eligibility determination, support plan selection for Managed Care, automatically enroll members who do not make a selection within ten (10) calendar days of eligibility determination, enroll members not eligible for Managed Care in Fee-for-Service (FFS) coverage, and transmit 834 transactions to eMedNY to finalize enrollment
  - *Notices* – Generate notices following eligibility determinations, transmit PDF and metadata files to a print vendor, process undeliverable mail through an interface with the Customer Service System, and support alternate formats such as braille or large print (via an interface with a third-party vendor)

- **Changes to Data** – Process updates submitted through the Member Portal by rendering current data from the Worker Portal database, initiating the RTE process upon submission, applying effective date

bracketing to update only modified data, maintaining historical records with end dating, and leaving unchanged data intact

- **Case Transfers** – Process user and application data from the NYSOH System, including creation of new users and applications as needed (refer to **Section 5.2.5.4.D – Data Conversion and Migration Approach**)
- **Renewals** – Trigger batch processes seventy (70) calendar days prior to a member's renewal date and retrieve updated data from external systems, including DOL and FDSH, for processes such as VLP to support administrative renewals
- **Processing External Data** – Categorize incoming data as either direct mapping (requires no changes), derived mapping (requires transformation), or drop-down mapping (requires mapping reference codes) and define data elements for functions such as notices and interfaces

A.1.2 Medicaid Eligibility and Client Management System Data Flow and Relationships

Data flows unidirectionally through the MECM data ecosystem, undergoing specific transformations at each stage to serve different business purposes. The primary components in this data flow include the following:

- **Systems of Engagement** – Member Portal and Worker Portal
- **System of Consolidation** – Worker Portal Application Inbox
- **System of Record** – MDM platform
- **Systems of Analysis** – Lakehouse and Analytics Layer

A.1.2.1 Stage 1: Data Origination and Staging

All data begins its life cycle in a system of engagement before being consolidated in a staging area. Within the system of engagement, data is created through multiple channels, including, at a minimum, the following:

- Public-facing Member Portal
- Direct entry by caseworkers in the Worker Portal
- Automated case transfers from the NYSOH System
- Digitization of paper applications

These systems are transactional and are responsible for capturing data from user interactions.

Regardless of its origin, all new application and Change in Circumstance (CiC) data is routed to the Worker Portal Application Inbox. This staging layer functions as a universal adapter and temporary holding area. Its data model is highly normalized, decomposing a single application into multiple interconnected data elements. This structure supports data integrity at the point of capture and enables initial validation by caseworkers.

A.1.2.2 Stage 2: Data Mastering

Once an application is validated in the Worker Portal Application Inbox, it is submitted to the MDM platform. The purpose of the MDM is to create and maintain the single, authoritative "golden record" for core enterprise entities such as members and organizations. The MDM performs a mastering process that includes the following:

- **Matching and De-Duplication** – Compare incoming records to existing master data using natural keys, such as SSN, name, and date of birth, to identify potential duplicates and flag them in SUSPECT tables for Data Steward review
- **Golden Record Creation** – Create a unique, authoritative record in the central CONTACT party model using a hub-and-spoke structure that links core records to attributes stored in satellite tables, such as ADDRESS, IDENTIFIER, and CONTRACT
- **Temporal History Tracking** – Maintain a temporal data model that captures all record changes in history tables, providing a complete, auditable timeline

A.1.2.3 Stage 3: Data Preparation for Analytics

The MECM Data Analytics Platform is a cloud-native analytics solution built on AWS GovCloud and Snowflake GovCloud. The platform ingests operational data from the Worker Portal (Oracle RDS), Member Portal (Postgres RDS), and Salesforce AMS.

Data is replicated into Snowflake using Oracle GoldenGate for near-real-time CDC, AWS DMS for full-load and incremental processing, and the Salesforce Bulk API. Data is first landed in an append-only raw layer that preserves all committed transactions with full audit metadata.

From there, data flows through a Medallion Architecture. The Bronze layer stores source-parity data. The Silver layer applies data quality rules and maintains Slowly Changing Dimension (SCD) Type 2 history by combining and conforming records across source systems using Verato MDM entity resolution. The Gold layer delivers pre-aggregated KPI tables and analytics marts optimized for reporting.

All ETL transformations and pipeline orchestration are delivered using Snowflake-native capabilities including Tasks, Stored Procedures, and Snowpark.

The Gold layer supports multiple consumption patterns, including Tableau dashboards, self-service Structured Query Language (SQL) analytics, AI/machine learning (ML) workloads using Snowpark, and direct analyst access.

Data governance is embedded across all platform layers through a framework that enforces data quality rules and reconciliation, metadata management, data lineage tracking, and role-based access controls (RBAC). Snowflake environments are integrated with Okta for single sign-on (SSO) and RBAC and with GitLab for source code management and CI/CD pipeline automation.

A.2 NY State of Health Data Ecosystem

The NYSOH System's data supports the operational functions required to perform E&E for MAGI Medicaid, CHPlus, BHP, and QHPs, as well as employer eligibility for the SBM. These functions are performed by the following subsystems:

- Plan Management
- SBM (i.e., SHOP)
- Customer Service
- Oversight
- Individual marketplace (i.e., E&E)

- Document management and notices
- Audit, security, and compliance

The NYSOH System contains fifty-one (51) databases that support sixty-five (65) different environments. The Department will provide the following data models to the Contractor after Contract start:

- Logical Data Model (LDM)
- Conceptual Data Model (CDM)
- Physical Data Model (PDM)

System data is stored in a relational format using IBM DB2 for Linux, UNIX, and Windows (DB2 LUW). The database management system supports data stored in XML, geospatial formats, and other structures and leverages a virtualized platform to support performance and HA.

To support specialized reporting needs, additional data structures have been created that are isolated from the operational database. The NYSOH System uses Cognos as its reporting platform, and all reports are generated from a reporting database using Cognos tools.

The Cognos Platform includes Report Studio, Analysis Studio, and Query studio for report creation and analysis.

A.2.1 NY State of Health System Processes

The NYSOH System's data architecture supports automated and manual processes for plan management, E&E, SHOP, and customer communications and services, including the following:

- **Plan Management Processes** – Manage annual and periodic data load activities, including the following:
    - Manual selection and loading of plan management data to support availability in the Issuer Portal
    - Execution of QA reporting processes to validate, map, and load quality data
    - Validation and loading of CHPlus and BHP standard rates
    - Loading of master benefits data related to QHP, BHP, CHPlus, and Medicaid
- **E&E Processes** – Support E&E operations through the following:
    - Enrollment Message Batch
    - EDI 834 Outbound
    - EDI 834 Outbound to eMedNY
    - Death Confirmation
    - EDI 834 Inbound (File Processing System [FPS])
    - Under Custody, Pre Release, Update, Cancel, and Release Files from NYS DOCCS
    - Knowledge Information Data System (KIDS)
    - LDSS Referrals
    - Forced Closure
    - NYSHIP Data Loader
    - Organ Donor Extractor
    - Notices Process
    - NYSHIP Data Processor Job
    - NY HRA Migration Loader job
    - NY HRA Case Processor job
    - Deceased Process Job
    - Coverage Adjustment Batch Job

- **SHOP Processes** – Execute automated batch processes that generate scenario-based notices for SHOP participants using data from the SHOP tables and populate notices staging tables
- **Customer Service Processes** – Support customer service operations through proximal searches to the Customer Service System, processing of paper applications and documentation received as ZIP files, and batch processing to update Issuer and User Profile tables, resulting in user notifications

The details of each of these processes are described in **Exhibit G.03 – NYSOH System Operations and Maintenance Manual**.

A.3 Examples of Differences in Data Architectures

While the MECM System and the NYSOH System share a common CDM, they differ significantly at the logical and physical levels. Through the DC&M process, the Contractor must address these differences. In addition to supporting different programs (refer to **Section 3.3 – Current Systems Overview**), the Contractor will find numerous ways in which the systems differ in data structures. The following are two (2) examples of differences in the data structures.

A.3.1 Historical Changes

The NYSOH System uses a "wholesale replication" model when data changes. The unique identifier in the NYSOH System is the combination of HXID and Account ID. When a change is reported within an account, the system creates a complete, versioned copy of the entire account, including all linked individuals and their associated data. This approach results in a series of historical "snapshots," where each snapshot represents the full state of the household at a specific point in time.

The MECM System employs an effective date bracketing model, also known as Type-2 data management. A person's record is uniquely identified by a single Member ID, and history is maintained at the individual attribute level. When a data element changes (e.g., income), the existing record is end-dated, and a new record is created with a new start date. This approach supports a granular, continuous timeline of changes for each data attribute while minimizing data redundancy.

A.3.2 Data Uniqueness

The NYSOH System is not person-centric. Instead, the unique identifier for an individual is a composite key consisting of HXID and Account ID. As a result, a single individual may exist across multiple accounts, and data attributes for that individual can vary between accounts.

In contrast, the MECM System enforces a person-centric model. Each individual is represented by a single, unique Member ID. If an individual is associated with multiple cases, such as being an applying member in one (1) case and a nonapplying member within another, the individual maintains a single set of data that is referenced across cases. As a result, the same member cannot have multiple conflicting data sets across different cases.

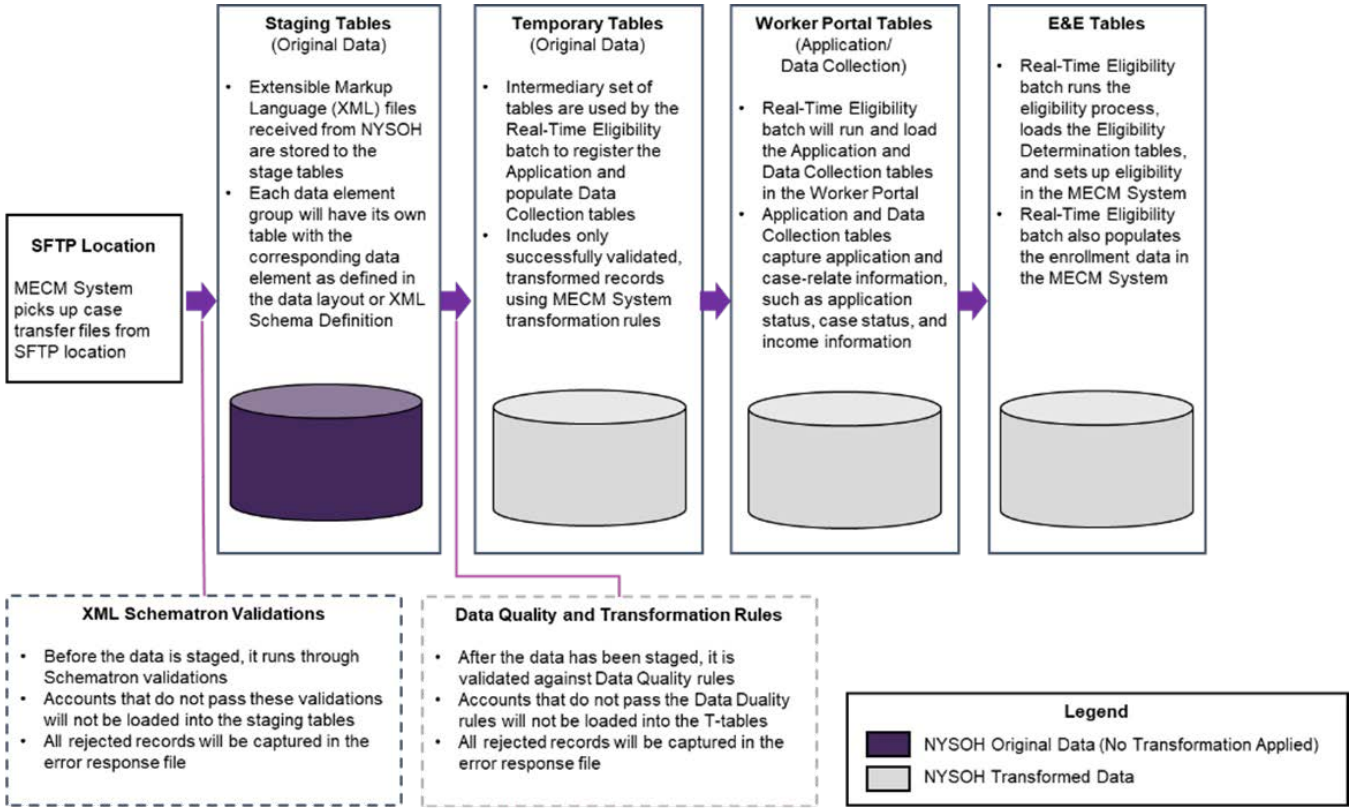
A.4 Existing Data Conversion and Migration Processes

The Department currently performs DC&M activities but is open to alternative approaches for migrating NYSOH System data into the MECM System.

A.4.1 Data Conversion and Migration for Population Migration

Figure 18 describes the DC&M process used by the Department to support development of the MECM System. Through this process, the Department migrated Medicaid populations from the NYSOH System to the MECM System. Note that only a subset of NYSOH System data elements is used to support this DC&M process. It does not include the conversion of historical data (e.g., historical E&E data).

Figure 18 – Data Conversion and Migration for Population Migration



The Department completes the following steps to support this DC&M process:

1. The NYSOH System identifies members who meet the extraction criteria for the transfer population, extracts the associated account data, and prepares and transfers files using SFTP to a designated SFTP location.
2. The MECM System batch process retrieves the file from the pre-defined SFTP location, unzips the file, stores the data in the initial XML staging table, and executes validation and transformation rules to load the data into staging tables.
3. An automated batch process executes validation batches and loads successfully validated records into MECM System application registration, data collection, eligibility, and post-eligibility tables.
4. Following validation and transformation, the MECM System generates a ZIP file containing response for the NYSOH System, including the following:

    a. Acknowledgement summary file indicating whether each received case transfer file was successfully validated
    b. Error details file listing validation errors for each account that failed processing

5. The NYSOH System reviews failed records, resolves identified issues, and returns corrected records to the MECM System in a separate ZIP file for processing.

A.4.2 NY State of Health System to Medicaid Eligibility and Client Management System Case Transfers

In addition to the processes described in this section, a case transfer process exists between the NYSOH System and the MECM System.

This process uses an automated interface that executes a monthly overnight batch workflow using ETL processes. It identifies and extracts cases from the NYSOH System based on eligibility triggers, including members attaining age sixty-five (65) or enrolling in Medicare. The MECM System receives these files, validates the data, and loads valid records into staging tables for final case creation, while rejecting records with errors for correction and resubmission.

The primary complexity of this process lies in the business logic used to handle household structures. The MECM System must interpret the composition of incoming household records and apply context-dependent rules. Depending on which members are transferred and the identity of the original account holder, the system may split a single household into multiple cases or designate a new account holder.

Through this interface, the following scenarios are managed:

- **Age-Based Transfers** – Individuals eligible for interim Medicaid in the NYSOH System who have reached age sixty-five (65) on or before the first day of the MECM System Go-Live month, with the NYSOH System determining the population of prospective consumers to be transferred on a monthly basis
- **Medicare-Based Transfers** – Individuals eligible for Medicare coverage equivalent to their NYSOH System coverage who are between ages nineteen (19) and sixty-four (64), including individuals aged nineteen (19) or twenty (20) who are not living with a parent and meet all exclusion criteria

For cases involving a three (3)-member household, such as an adult child and their parents, the MECM System must support the following scenarios:

- **Scenario A – Adult child is the account holder and not transferred:** Create one (1) case using the parents' information and designate the elder parent as the account holder
- **Scenario B – Adult child is the account holder and transferred:** Create two (2) cases, including one (1) case for the parents and one (1) separate case for the adult child
- **Scenario C – Adult child is transferred but not the account holder:** Create two (2) cases, including one (1) case for the parents and one (1) separate case for the adult child
- **Scenario D – Adult child is neither the account holder nor transferred:** Exclude the adult child and create one (1) case for the parent(s)

The transfer file includes a comprehensive set of data elements, including, at a minimum, the following:

- Household details
- Member demographics
- Income and expense records
- Medicare data
- Current E&E information

The file also includes information related to authorized representatives and Assistors associated with each case.

The Department's current methodology uses key data fields within the transfer file to drive automated processing logic. A designated indicator identifies members included in a transfer cohort, triggering provisioning of interim coverage in the MECM System to prevent coverage gaps.

Additionally, a separate data field categorizes each transferred member based on the reason for migration, such as age-based, Medicare-based, or BHP, ensuring that appropriate business rules are applied after conversion. This methodology supports high-fidelity data migration and accurate, efficient case creation within the MECM System.

The Contractor must collaborate with the Department to fully understand existing DC&M processes and consider their use as starting point for the broader DC&M effort.

B. In-Scope Data

Although all data since the inception of the NYSOH System is maintained within the system, the Contractor must convert and migrate ten (10) years of NYSOH System data into the Converged E&E System, measured from the point of eligibility determination and associated supporting data. NYSOH System data older than ten (10) years must be archived as outlined in the Data Conversion and Migration Approach subsection in **Section 5.2.5.4.D – Data Conversion and Migration Approach**.

Some data currently exists in the NYSOH System to support SHOP functionality that is no longer performed. This data is not required to be converted and migrated. Refer to **Section 5.2.5.2 – Business Requirements** for additional details regarding the limited SHOP scope in the Converged E&E System.

Achieving a Converged E&E System requires migration of core data domains from the NYSOH System. The Contractor must convert and migrate all data necessary to support MAGI Medicaid, CHPlus, BHP, and QHP programs, as well as the defined SHOP scope.

Table 18 provides a summary of the data domains to be converted and migrated from the NYSOH System to the Converged E&E System.

Table 18 – NYSOH Data Domains for DC&M

Domain	Details
Account Information and Eligibility	• **Individual Information** – Personal information associated with each HXID, including, at a minimum, demographics, income, and address • **Household Information** – Data for all individuals within an account, including nonapplying individuals • **CiC** – Record of all reported life events (e.g., new job, change in household size, moving to a new county), including reporting date, effective date, and reporting user • **Eligibility Determinations** – Results of eligibility checks, including inputs such as income and household structure and outputs such as program eligibility and financial assistance levels • **Coverage Spans** – Start and end dates for all periods of coverage, including transitions between plan types such as QHP and MAGI Medicaid • **Worker Actions** – Audit log of manual actions by case workers and customer service representatives, including timestamps and user IDs
Financial and Enrollment Data	• **Plan Enrollment History** – Complete record of health and dental plan enrollments, including the following: o Issuer name o Plan ID (e.g., Health Insurance Oversight System [HIOS] ID) o Metal level (e.g., Bronze, Silver, Gold, Platinum, and Catastrophic) o Effective start and end dates for every enrollment span o Reasons for disenrollment (e.g., member choice, nonpayment, moved to Medicaid) • **834 Transaction History** – Log of outbound 834 enrollment transactions sent to issuers or eMedNY and associated 999 acknowledgement files

Domain	Details
	• **Financial Assistance Ledger (APTC/CSR)** – Monthly ledger including calculated maximum APTC, applied APTC, issuer payments, and mid-year reconciliation adjustments • **1095-A Tax Data** – Data used to generate annual 1095-A tax forms for IRS reconciliation
IAM and Preferences	• **User Profile** – Login credentials, account creation date, and account status • **Security Credentials** – Hashed passwords, security questions, and hashed responses, including considerations for password reset strategy if migration is not feasible • **Linked Relationships** – Records of authorized representatives and Assistors, including identity and permission levels • **Delegated Authority and Relationships** – Data supporting authority relationships, such as authorized representatives, guardians, and brokers, including relationship type and effective dates • **Account Preferences** – User-defined communication preferences, language selection, and portal settings
Issuer and Plan Data	• **Issuer Information** – Issuer details including contacts, certification documentation, and network information • **Plan Data and Details** – Plan attributes, including benefit design, provider networks, formularies, and cost-sharing details (e.g., premiums, deductibles, copayments)
Document Repository	• **Documents** – Stored files such as pay stubs, birth certificates, identification documents, immigration forms, employer letters, and proof of pregnancy • **Metadata for Each Document** – Attributes including upload timestamp, document type, associated member, and verification status
Notices and Communications	• **Notices** – Copies of generated notices, preserving content, formatting, and dynamic data at time of creation • **Communication Metadata** – Notice template ID, generation date, distribution date, delivery method, and indication of whether electronic notices were opened
Customer Service	• **Customer Service System Data** – Files and data transferred from the Customer Service System into the NYSOH System
SHOP	• **Employer Information** – Legal business names, employer identification numbers (EINs), addresses, and contact information • **Eligibility Information** – Eligibility determinations, eligibility periods, and eligibility confirmations
Appeals	• **Case Filing Information** – Initial appeal request, disputed eligibility decision, and filing date • **Evidence and Testimony** – Submitted documentation from individuals and the State • **Legal Records** – Hearing schedules, motions, administrative decisions, and final orders • **Implementation Tracking** – System actions taken to implement final orders, including retroactive coverage
Audit, Security, and Compliance	• **Granular User Action Logs** – Records of significant user actions within the system • **Data Change History (Field-Level Audit)** – Audit records for sensitive data changes, including user and timestamp • **Consent and Preference History** – Historical record of consent decisions (e.g., electronic communication, data sharing), agreement versions, and acceptance dates

C. Data Conversion and Migration Governance

The Contractor's governance approach must be based on clear accountability, proactive coordination, and adherence to Department standards. The governance structure must be organized through a central task force and a defined mapping of Contractor staff to the roles and responsibilities in the OHIP Data and Information Management Domain Document, DC Standard.

C.1 Data Conversion and Migration Task Force

The Contractor must facilitate a DC&M Task Force that serves as the central governance body for all DC&M activities and supports maintenance of data integrity and quality throughout the process.

The Task Force is responsible for providing oversight, maintaining alignment between the Department and the Contractor, resolving issues, and making key decisions. The Task Force must also develop and refine the DC&M approach throughout the process.

The Contractor's approved DC&M Plan must define Task Force parameters, including, at a minimum, the following:

- **Composition** – Key Department participants (e.g., Data Owner, Data Steward, Department Leadership) and required Contractor personnel (e.g., Conversion Lead, Data Manager, Technical Manager), including individuals with knowledge of data and processes in both the MECM System and the NYSOH System, and, as needed, participants from the NYSOH System vendor and the Incumbent Contractor
- **Cadence** – Regular meeting schedule to track progress and address risks
- **Decision Rights and Escalation Paths** – Framework for decision-making and issue escalation aligned with the Release Management process in the OHIP Solution Delivery Domain Document, Release Management Standard
- **Partner Checkpoints** – Scheduled engagement with external partners, such as issuers and eMedNY, to confirm requirements are addressed during migration
- **Alignment with Functional/Application Teams** – Defined plan for integrating DC&M Task Force activities with overall DDI to support the Department's objective of alignment and coordination between DC&M and DDI activities

C.2 Roles and Responsibilities

The Contractor must provide staff to fulfill the operational and technical functions required for DC&M, as defined in the OHIP Data and Information Management Domain Document, DC Standard. Refer to **Section 5.3 – Staffing** for additional details.

D. Data Conversion and Migration Approach

The Contractor must develop and execute a DC&M Plan that includes, at a minimum, the following:

- Secure transfer of all in-scope data from the NYSOH System to the Converged E&E System
- Conversion of data into a standardized format
- Data cleansing processes to establish a single, reliable master record for each individual
- Conversion and cleansing of all other data into standardized formats for secure transfer to Department-defined archive environments

Refer to the Post-Conversion Data Retention and Archiving subsection in **Section 5.2.5.4.D – Data Conversion and Migration Approach** for additional details.

The OHIP Data and Information Management Domain Document, Data Architecture and Naming Standard defines required data model documentation, including a CDM, LDM, and PDM, as well as a data dictionary. The Contractor must also document source and target data models.

The DC&M Plan must detail the procedures for operating the Converged E&E System in parallel with the NYSOH System to identify and resolve issues prior to Go-Live. The DC&M Plan must also describe

management of the final transition, including provisions for a rollback plan to revert to the legacy system, if necessary. Refer to **Section 5.8 – Deliverables** for additional details on the DC&M Plan.

The Converged E&E System must unify shared data while preserving required program distinctions. This must be achieved by leveraging the Department's MDM platform to converge data around a single "golden" record for each individual. Refer to **Section 3.3.2.8 – Master Data Management Strategy** for additional details.

The DC&M approach must incorporate the elements described in the following subsections. Refer to the OHIP Data and Information Management Domain Document, DC Standard for additional details.

D.1 Pre-Conversion

Converging two large E&E systems with fundamentally different rule engines and data models cannot be accurately achieved without first conducting a comprehensive functional and technical gap analysis. As a result, within sixty (60) days of the beginning of the Contract term, the Contractor must conduct a DC&M Gap Analysis to establish the scope, scale, structure, and complexity of the DC&M activities (refer to **Section 5.8 – Deliverables** for additional details). Using the DC&M Gap Analysis as an input, the pre-conversion phase must culminate in development of a formal DC&M Plan, which requires Department approval prior to commencement of any DC activities. The Contractor must also develop a Data Migration Inventory Report that provides a complete, auditable catalog of all data items in scope and out of scope for migration, enabling the Department to determine what data exists, where it resides, how it is used, and how it will be handled during migration.

Within the pre-conversion phase, the Contractor must conduct data profiling, data cleansing, reference and master data mapping, and source-to-target mapping in accordance with the OHIP Data and Information Management Domain Document, DC Standard.

The Department anticipates that data profiling will be a significant effort given the complexity of the NYSOH System data. The Contractor must deploy data analysts, as well as Medicaid and SBE SMEs, to perform deep-dive statistical, temporal, and relational analyses to interpret anomalies, identify cross-system duplicates, and classify historical versus current records.

Additionally, the Contractor must anticipate that the target structure for NYSOH System data may be fluid and may require further adaptation to accommodate unique aspects of the data.

D.2 Conversion Execution

Following Department approval of the DC&M Plan, the Contractor must proceed with the conversion execution phase. The primary objective of this phase is to develop and execute DC processes to migrate data accurately and efficiently from the NYSOH System to the Converged E&E System.

All activities must align with the approved DC&M Plan. Any proposed deviation must be documented, justified, and formally approved by the Department before implementation.

Within the conversion execution phase, the Contractor must perform data transformation and loading, define and meet data acceptance criteria, implement reconciliation controls, and resolve all exceptions in accordance with the OHIP Data and Information Management Domain Document, DC Standard.

D.2.1 Bootstrapping with the Enterprise Data Warehouse

During conversion execution, there may be a period during which both the NYSOH System and the Converged E&E System provide the same data in different formats to the EDW, creating risks of duplication, conflicts, and reporting inconsistencies.

Bootstrapping mitigates this risk by performing a one (1)-time backfill that seeds the EDW with validated historical and current data mapped to a canonical model with identity crosswalks and bitemporal or effective dating.

The Contractor must coordinate with the EDW vendor to execute bootstrapping activities, including, at a minimum, the following:

- Management of data contracts, schema, and versioning
- ID and code crosswalks
- Feed delivery and Cutover schedules
- Joint data quality and reconciliation activities

D.3 Testing and Validation

The Contractor must conduct testing, validation, and execution activities to support a successful transition to the Converged E&E System.

In addition to testing required in **Section 5.2.7 – System Testing**, the Contractor must perform DC&M-specific testing and validation. As described in the OHIP Data and Information Management Domain Document, DC Standard, this includes the following:

- Conversion trial runs
- Definition and adherence to exit criteria for each dry run
- Execution of data validation processes and E2E verification
- Automated compliance checking
- Validation that converted data has been properly identified and integrated

D.4 Cutover, Rollback, and Post-Go-Live

The final phases of DC&M cover the transition from testing environments to production operations. These phases establish procedures for executing production Cutover, define contingency plans for rollback, and support enhanced operations during post-Go-Live stabilization.

Refer to the OHIP Data and Information Management Domain Document, DC Standard for additional details.

D.5 Post-Conversion Data Retention and Archiving

Following DC&M, the Contractor must retain ten (10) years of data in the Converged E&E System, measured from eligibility determination and supporting data. After this retention period, the data must be archived. Retention and archiving procedures must be defined in the DC&M Plan and approved by the Department.

Additionally, all NYSOH System data not converted and migrated must be archived. The Contractor must archive this data in AWS Glacier, which will store all archived data, including FTI. The Contractor is responsible for maintaining this archive.

Refer to the OHIP Data and Information Management Domain Document for additional information on data retention and archiving.

D.6 Audit, Reporting, and Transparency

To support accountability, compliance, and visibility, the Contractor must adhere to auditability, reporting, and transparency standards defined in the OHIP Data and Information Management Domain Document, DC

Standard. This includes implementation of audit logging, provision of reports to the Department, maintenance of transparency throughout the DC&M process, and participation in audits.

5.2.5.5 Training

Training focuses on building the skills, knowledge, and capabilities individuals need to perform their roles effectively. The objective of training is to improve performance and productivity by preparing users to work with new methodologies, updated technologies, and job-specific processes. The Contractor must develop a structured training program in collaboration with the Department and third-party vendors. The training program must support Department staff and other business users in acquiring new skills, strengthening existing capabilities, and effectively using the Converged E&E System and the AMS in their roles.

The Contractor's training approach must include activities necessary to build a comprehensive training curriculum and supporting training materials and must be aligned with the functionality of the Converged E&E System and the AMS. The Contractor must support training activities throughout the Contract term. The training approach must be flexible to adapt to changing user needs and must ensure that all training is relevant, current, concise, effective, and directly applicable to Department operations.

The Department will provide the Contractor with existing training plans, training materials, and supporting documentation for the MECM System and the AMS. The Department will also designate SMEs to provide explanation, clarification, and interpretation of State policies and procedures as needed. During Transition-In, the Contractor may request additional clarification from the Incumbent Contractor as part of knowledge transfer and training activities.

The following guiding principles anchor training activities and promote consistency across all stakeholder groups:

- **Focus on Utility** – Design training materials for practical impact by providing information required to navigate and use Converged E&E System and AMS functionality, selecting appropriate modalities and formats such as instructor-led training (ILT), web-based training (WBT), or supplemental documentation based on the topic, learning objectives, and user group
- **Apply HCD and Adult Learning Principles** – Design training materials that provide applicable, clear, and concise information using scenarios, visuals, and hands-on exercises that are relevant to end users to support engagement and retention
- **Involve Training Partners Early in the SDLC** – Engage Contractor training staff and other internal or external training partners during design and requirements definition activities to support development of accurate and effective training materials and reduce gaps in the training curriculum
- **Develop Self-Sufficiency** – Provide participants with a strong understanding of the core concepts and the ability to locate help and resources within the Converged E&E System and AMS
- **Utilize a Just-in-Time Training Delivery Approach** – Schedule training as close to Go-Live as practicable to support retention and immediate application of learned skills

The Contractor's training program must enable stakeholders and users to build familiarity with, apply, and understand all relevant aspects of the Converged E&E System and the AMS. The Contractor must support continuous improvement of the training program by conducting pre- and post-training assessments to collect metrics and feedback on training effectiveness.

The Contractor must develop, deliver, and evaluate training that includes, but is not limited to, the following topics related to the Converged E&E System and the AMS:

- End-User Training
    - System functionality, including search methods, accessing user help, and error handling
    - New or modified functionality introduced during the Contract term
- Stakeholders/Project Team Training
    - BC/DR, including staged exercises
    - Tools and processes used within or in support of the Converged E&E System and AMS project, including, at a minimum, the following:
        - *Processes* – Release planning, defect and issue management, and data analysis
        - *Tools* – Jira, Erwin Data Modeler, Microsoft Project, and Tableau

A. Training Audiences

The Contractor must develop the training approach and materials for specific target audiences including, including, at a minimum, Contractor staff, Department staff, Customer Service Center staff, Frontline Workers, and Assistors. The training approach, topics, and supporting materials must be tailored to the needs of each audience.

The Department uses additional vendors to conduct training for certain user groups. Training responsibilities for each user group are summarized in **Table 19** and detailed in the subsections that follow.

Table 19 – Training Responsibility Matrix

User Group	Responsible Party
Department Staff	Converged E&E System and AMS Contractor
Contractor Staff	Converged E&E System and AMS Contractor
External Training Vendor	Converged E&E System and AMS Contractor
Customer Service Center	Customer Service Center Vendor
Frontline Workers	External Training Vendor
Assistors	External Training Vendor

The Contractor must collaborate with these training vendors throughout the SDLC, beginning in the Planning phase and continuing through M&O.

The Department may revise the composition of user groups and add or remove groups during the Contract term. The Contractor must update existing materials or develop new training modules, as needed, to meet the training requirements of user groups identified by the Department.

A.1 Department Staff

The Contractor is responsible for curriculum development and maintenance, scheduling, and delivery of training for Department staff on the Converged E&E System and the AMS. The Contractor must also provide training for tools used within or to support the Converged E&E System and the AMS project, including tools used for Release planning, defect and issue management, consumer outreach, data analysis (e.g., Jira, Erwin Data Modeler, Microsoft Project, Tableau) and any additional tools required by the Department.

The Contractor must collaborate with the Department to identify and inventory tools that require training. Additional information on the Department's preferred tools is provided in the OHIP Infrastructure and Operations Domain Document, Preferred Operational Tools Standard.

A.2 Contractor Staff

The Contractor is responsible for training their own staff. The Contractor must conduct cross-training, as appropriate, to provide coverage for training position vacancies, extended absences, and periods with high trainee volume. These processes must be documented in the Staff and Resource Management Plan (refer to **Section 5.8 – Deliverables**).

A.3 External Training Vendor

The Contractor is responsible for curriculum development and maintenance, scheduling, and delivery of train-the-trainer (T3) sessions for external training vendor staff. Refer to **Section 5.2.5.5.B – Training Methods** for additional details.

A.4 Customer Service Center

Training for Customer Service Center staff is customized and delivered by the Customer Service Center vendor. The Contractor must support the Customer Service Center vendor through the following:

- Serve as the point of contact (POC) for training-related questions regarding the Converged E&E System and the AMS
- Provide access to system documentation and training environments to support development of training materials and delivery
- Host regularly scheduled meetings to support improvement and customization of training materials
- Facilitate collaborative solutioning sessions to identify common scenarios and develop appropriate resolution-focused training
- Conduct T3 sessions

A.5 Frontline Workers

Frontline Workers operate from LDSS county offices. Training for Frontline Workers is customized as needed and delivered by an external training vendor. The Contractor must support the external training vendor through the following:

- Serve as the POC for training-related questions regarding the Converged E&E System and the AMS
- Provide access to system documentation and training environments to support development of training materials and delivery
- Host regularly scheduled meetings to support improvement and customization of training materials
- Facilitate collaborative solutioning sessions to identify common scenarios and develop appropriate resolution-focused training
- Conduct T3 sessions

A.6 Assistors

Training for Assistors is customized, as necessary, and delivered by the external training vendor. The Converged E&E Solution Contractor must support the external training vendor by:

- Serve as the POC for training-related questions regarding the Converged E&E System and the AMS
- Provide access to system documentation and training environments to support development of training materials and delivery
- Host regularly scheduled meetings to support improvement and customization of training materials
- Facilitate collaborative solutioning sessions to identify common scenarios and develop appropriate resolution-focused training
- Conduct T3 sessions

B. Training Methods

The Contractor must develop and deliver training using, at a minimum, the following formats:

- **T3** – Prepare instructors to train additional trainers through the following:
    - Deliver sessions led by experienced trainers
    - Train identified trainers from the Customer Service Center vendor and external training vendors supporting Frontline Workers and Assistors
    - Coordination training delivery with the applicable Release Plan
    - Complete training prior to the associated Release
- **ILT** – Deliver classroom-based training through the following:
    - Introduce new skills and build user confidence
    - Explain key concepts and demonstrate system processes
    - Provide opportunities for hands-on learning, discussion, and questions
    - Delivered sessions in person or through web-based collaboration tools
- **WBT** – Provide self-guided training modules through the following:
    - Make content available twenty-four (24) hours per day, seven (7) days per week (24x7), three hundred sixty-five (365) days per year (24x7x365)
    - Support interactive and self-contained learning formats
    - Specify technical access requirements, including supported browsers, software, system capacity, and launch steps
    - Include recorded ILT sessions, as applicable
- **Online Help** – Support user operation through the following:
    - Provide page-specific, topic-oriented guidance
    - Deliver procedural information for specific fields or system functions
- **Job Aids** – Assist users in completing specific tasks through the following
    - Provide task-level support materials
    - Address multi-step processes spanning multiple Converged E&E System and AMS online pages
    - Differentiate from Online Help by focusing on E2E task execution

C. Training Environments

The Converged E&E System and AMS training environments must support development, testing, delivery, and maintenance of the training curriculum. The Contractor must populate training environments with synthetic data and simulate interfaces among the Converged E&E System and the AMS, other State and federal systems, and required external interfaces to establish a production-like environment.

Training environments must reflect the Production Environment and meet the following criteria:

- Contain only synthetic data used exclusively for training (i.e., no Production data)
- Include sufficient data for each participant to use during training
- Be available on all business days during the Department's established hours of operation, excluding approved scheduled or emergency maintenance windows
- Enforce role-based security business rules for read-only access and create, update, or delete actions
- Support up to three hundred (300) concurrent training users, with capacity refined in coordination with the Department during Contract start-up

Refer to the OHIP Infrastructure and Operations Domain Document, Infrastructure Management Standard for additional requirements related to training environments. Additional information regarding current training environments is provided in **Section 3.3.2.5 – Physical Architecture** and **Section 3.3.3.4 – Appeals Management System Environments**.

D. Training Plan

The Training Plan supports the Department and the Contractor in planning, delivering, measuring, and evaluating the effectiveness of training activities and tools for the Converged E&E System and the AMS. The Training Plan must include a preliminary schedule of training sessions and demonstrations. It must also identify training topics and objectives, the number of staff to be trained, and the length and delivery methods for each training session, such as face-to-face classroom instruction, web-based class participation, self-guided tutorials, or independent study.

The Training Plan must include, at a minimum, the following:

- Training objectives
- Pre-training needs assessment
- Curriculum content
- Audience identification and analysis
- Training methodologies
- Instructional materials
- Trainer selection
- Delivery methods
- Training schedule
- Communication plan
- Post-training evaluation and feedback strategy
- Follow-up support

E. User Manuals

The Department will provide the Contractor with existing Converged E&E System and AMS user manuals. The Contractor must maintain and update the manuals to reflect new or modified functionality. The Contractor must provide updated user manuals to the Department for use by other vendors supporting training delivery for applicable user groups.

User manuals must include clear narrative descriptions, explanations of functionality, and detailed procedures to support development of training plans for each identified user group. Information regarding training conducted by other vendors and associated user groups is provided in **Section 5.2.5.5.A – Training Audiences**.

The Contractor must also schedule and conduct office hours to allow Department staff and third-party training vendors to ask questions and obtain clarification regarding Department-approved user manuals.

Training deliverables are further described in **Section 5.8 – Deliverables**.

5.2.5.6 Deployment

Deployments are the events during which new functionality for the Converged E&E System or the AMS transitions to production and represent the final step prior to Release Go-Live. The Contractor must provide sufficient organizational preparedness and resources to support the Deployment process.

During the Deployment process, the Contractor must confirm that the Converged E&E System and the AMS function as designed. The Deployment process must define steps for development, planning, execution, monitoring, and control to minimize potential impacts during Deployment. The Contractor must develop a Deployment process for all production releases, initially drafted during the Scope Prioritization Phase and revised and refined throughout the System Testing phase.

Prior to Deployment, all required documentation for the Converged E&E System and the AMS must be completed, including technical documentation, functional documentation, and user manuals. The Contractor must resolve all critical defects prior to Go-Live and document their resolution. If a blackout or system unavailability period is required, the Contractor must provide detailed guidance to Department stakeholders.

The Contractor must develop a detailed, release-specific Deployment Plan aligned with the Department's objectives and submit the plan to the Department for review and approval prior to each release. The Deployment Plan must include the Contractor's Deployment strategy, a detailed minute by minute task breakdown, and an implementation schedule. The Deployment Plan must also include a rollback strategy, documented roles and responsibilities, and the approach used to prepare the Department for the Deployment. The Department may request a beta release prior to Deployment to receive feedback from a subset of users before rolling out functionality to all impacted users. The Contractor must document any beta releases in their Deployment Plan.

The Deployment Plan must include, at a minimum, the following:

- **Resource Availability Plan** – Timelines for infrastructure, software, and other materials required for Deployment
- **Go-Live Communications** – Communication materials prepared and distributed in accordance with the Communication Management Plan to relevant user groups and stakeholders.
- **Issue Management Plan** – Procedures for identifying, managing, and resolving issues that arise during Deployment to support prompt resolution and minimize potential impacts on system performance and UX during the transition to new functionality
- **Blackout/System Unavailability Period Determination** – Definition of the blackout or system unavailability period and a clear outline of when specific functions or services will be temporarily unavailable during Deployment
- **Rollback Plan** – Procedures to be executed if a Deployment, update, promotion, or change fails or if a major defect is identified

The Deployment Plan timeline must be incorporated into the IMS.

The Contractor must conduct a minimum of three (3) reviews of the Deployment Procedures for each Deployment or Go-Live of Converged E&E System functionality, unless otherwise decided by the Department. Each Deployment Procedure Review must include, at minimum, a walkthrough of all tasks and duties required during the Deployment and Go-Live phases, including the transition to full production operations. Testing of interfaces with the State and other third parties, and data synchronization between the systems, must also be included. The Contractor must document the results of each Deployment Procedure Reviews in a list of successes and failures, with a description of any corrective actions to be taken before the next Deployment Procedure Review and submit the results to the Department.

On the Deployment day, new system functionality within the systems will go live and, where applicable, all data identified for migration will be migrated or migration activities will begin. The Contractor must execute the approved Deployment Plan and submit all reports produced as part of Deployment execution to the Department.

Following completion of the Deployment process, the Contractor must provide support during the Hypercare phase. Hypercare includes support for operations under the new Release and execution of the transition to the M&O team(s). Refer to **Section 5.2.5.7 – Hypercare** for additional information.

The Contractor must develop the following SDLC deliverables related to Deployment:

- **Deployment Plan** – Strategy, time frames, resources, and tasks associated with the Deployment process for each Release
- **Deployment Procedure Review Results** – Summary of performance and outcomes for each Deployment Procedure Review

Refer to the Solution Delivery Domain Document, Release Management Standard for additional information on Deployment. These SDLC deliverables are further described in **Section 5.8 – Deliverables**. Deployment requirements are provided in **Attachment E – RFP Requirements Matrix**.

5.2.5.7 Hypercare

The Hypercare phase begins after a successful Deployment. The Contractor must plan for and provide onsite Hypercare services at designated Department locations for each implementation phase and Deployment event. With Department approval, a portion of the staff performing Hypercare services may be allowed to perform this activity remotely. The length of the Hypercare phase will be determined and mutually agreed upon by the Department and the Contractor.

The Contractor must implement proactive measures for defect identification and issue resolution during the Hypercare phase. Rather than relying solely on user-submitted incident reports, the Contractor must actively identify defects through continuous system performance monitoring, error log analysis, and direct user observation (e.g., “floorwalking” or targeted user check-ins) to preemptively capture user friction and system anomalies.

The Contractor must develop and submit a release-specific Hypercare Plan to the Department for review and approval. The Hypercare Plan must outline the post-Deployment activities that will be implemented by the Contractor to support stabilization of new functionality. The Hypercare Plan must include, at a minimum, the following:

- Description of the Hypercare processes, management of Hypercare functions, and Contractor responsibilities
- Process for reporting and resolving all incidents with severity level one (1) and level two (2) before the end of the Hypercare phase

- Process to address any remaining incidents with severity level three (3) and level four (4) that may still be outstanding at the end of the Hypercare phase
- Strategy and identification of staff who will assist the Department with defect resolution and critical system modifications during the Hypercare phase
- Strategy, methodology, and identification of staff dedicated to proactive user engagement, detailing mechanisms the Contractor will use to gather continuous feedback and how they will preemptively identify and triage defects outside of the standard helpdesk ticketing process

As a part of the Hypercare Plan, the Contractor must develop and submit a Production Defect Remediation Plan to the Department for review and approval. The Production Defect Remediation Plan must detail the process for addressing, documenting, tracking, reporting, and resolving all defects or issues identified during testing or uncovered during normal operations as incidents. The Production Defect Remediation Plan must support categorization of defects based on business criticality and resolution time frames according to the criticality level.

The Contractor must be prepared to roll back the deployed functionality if it is not performing as required. Following a rollback, the Contractor must correct critical and high defects, obtain Department approval for the Production Defect Remediation Plan for medium and low defects, and repeat the previously outlined process.

The Contractor's staff that provided configuration and customization services during the implementation must be available throughout the Hypercare phase. They will be responsible for resolving incidents and providing knowledge transfer to the Department's resources.

The Contractor must develop the following Hypercare deliverables for each Release:

- **Hypercare Plan** – Post-Deployment activities implemented by the Contractor to support stabilization of new functionality, including a Production Defect Remediation Plan detailing the process for addressing, documenting, tracking, reporting, and resolving defects identified during testing or uncovered after Deployment as incidents, with categorization based on business criticality and resolution time frames
- **Hypercare Completion Report** – Documentation of all incidents and defects identified during the Hypercare phase and the resolution of incidents and defects occurring during or after Deployment

Refer to the OHIP Solution Delivery Domain Document, Release Management Standard and the OHIP Solution Delivery Domain Document, SDLC Standard for additional information on Hypercare. These SDLC deliverables are further outlined in **Section 5.8 – Deliverables**. Hypercare requirements are provided in **Attachment E – RFP Requirements Matrix**.

5.2.6 Organizational Change Management

Successful implementation and long-term adoption of the Converged E&E System depend on effective OCM. The Contractor must provide a comprehensive OCM strategy and execution plan designed to maximize user adoption, minimize business disruption, and prepare stakeholders for the transition to new Converged E&E System functionality and processes. OCM will focus on activities and business needs within the Department and may involve collaboration with external stakeholders only when required by the Department.

The Contractor will be responsible for leading and executing OCM activities throughout the project life cycle. The Contractor must propose their specific OCM approach and methodology, such as the Prosci Awareness, Desire, Knowledge, Ability, and Reinforcement (ADKAR®) model; Kotter's Eight (8)-Step Process; or another proven framework. The Contractor must also coordinate with other OCM activities in which the Department may be engaged, including related projects and initiatives.

OCM activities must include, at a minimum, the following core areas:

- **Change Readiness and Impact Assessment** – Assess organizational readiness for change and identify impacts to business units, roles, and day-to-day operations
- **Stakeholder Engagement** – Identify key stakeholders and sponsors and develop strategies to promote active involvement, alignment, and visible support throughout the project
- **Communication Plan** – Design, draft, and execute a targeted, multi-channel communication strategy to inform Department staff and other identified stakeholders of project value, timelines, and required actions, excluding external communications related to Converged E&E System program policies such as public alerts and campaigns
- **Training and Enablement** – Collaborate with training resources to develop and execute a comprehensive training strategy (refer to **Section 5.2.5.5 – Training**)
- **Resistance Management** – Identify potential sources of resistance and develop strategies to mitigate risk and address user concerns
- **Technical Support** – Confirm users are properly provisioned and equipped with the tools required to support the change
- **Adoption Measurement and Reinforcement** – Define KPIs with the Department to measure user adoption and satisfaction following Go-Live and establish mechanisms for continuous feedback and improvement (refer to **Section 5.5.1 – Key Performance Indicators and Objectives and Key Results**)

The Contractor's OCM scope also includes advising on organizational changes that support a transition toward a modern product management model, including upskilling Department staff to assume Product Owner roles. The Contractor must also draft and implement the OCM-related deliverables identified in **Section 5.8 – Deliverables**.

5.2.6.1 Organizational Change Management Metrics

The Contractor's OCM performance will be evaluated using KPIs, OKRs, and SLAs designed to measure workforce readiness, engagement, and operational proficiency. KPIs and OKRs must be developed collaboratively with the Department.

The Contractor must support metrics and activities demonstrating organizational readiness for the areas identified in **Table 20**.

Table 20 – Example OCM Metrics

Metric Area	Example Activities
Stakeholder Engagement	• Change readiness and impact assessment • Stakeholder awareness communications • Change network champion meetings • Change readiness review meetings
System Readiness	• System validation • UAT • SIT • Post-Production validation
Training	• Training development • Training delivery • Training completion • Training evaluation surveys

Metric Area	Example Activities
Technical Support	• User provisioning • Performance testing • Performance monitoring
Communication	• Business process and procedures review • BC plans

The Contractor must work with the Department to incorporate OCM metrics into the overall KPI and OKR frameworks as described in **Section 5.5.1 – Key Performance Indicators and Objectives and Key Results**.

5.2.7 System Testing

Comprehensive and thorough testing of enterprise software throughout the IT investment life cycle leads to higher-quality software products and increased user satisfaction. As noted in the MES Testing Guidance Framework, CMS expects states to effectively test applications and services so that issues are identified and remediated early in the IT investment life cycle. Early detection of system issues reduces the number of errors embedded in the software and the cost of rework later in the development cycle, thereby increasing the overall quality of the delivered system and user satisfaction.

The Contractor must:

- Plan for and perform comprehensive testing in collaboration with the Department, for all phases of the Converged E&E System and AMS, including, at a minimum, System Functionality Releases, Enhancements, and M&O.
- Perform full testing of each required test type prior to Deployment of each Release.
- Plan and perform, in collaboration with the Department, ongoing testing of changes, upgrades, or system enhancements for post-Deployment Releases.
- Submit test reports for all testing activities to the Department for review and approval.

For each Release, the Contractor must:

- Develop and submit both a comprehensive Test Management Plan (TMP) and detailed Test Schedule for Department review and approval.
- Update the TMP and Test Schedule, at the request of the Department, as testing activities evolve.
- Manage, coordinate, and facilitate all testing activities in collaboration with the Department.

These documents are essential to a well-coordinated and thorough testing process and must be meticulously developed in coordination with the availability and commitments of required Department resources. Refer to the OHIP Solution Delivery Domain Document, Test Management Standard for additional details regarding test planning, test types, test execution, and quality checks. Refer to the OHIP Infrastructure & Operations Domain Document, Preferred Operational Tools Standard for additional details on relevant test tools.

5.2.7.1 Test Management Plan

The Contractor's TMP will serve as a guide detailing the approach, objectives, and scope of all testing activities. The TMP must provide a clear strategy for executing tests so that each Release meets Department-approved requirements and quality standards. Additional Release information is available in the OHIP Solution Delivery Domain Document, Release Management Standard.

The TMP must include, at a minimum, the following sections.

A. Test Objectives and Scope

This section defines the objectives and scope of testing activities, including the components, interfaces, and functionality of the system that will be subject to testing.

B. Roles and Responsibilities

This section defines roles and responsibilities for all testing activities, including, at a minimum, preparatory steps for each test type, test execution procedures, and the processes for developing test scenarios, test cases, test scripts, and traceability to requirements, designs, and code. It includes a detailed RACI matrix for all testing activities that identifies responsibilities for the Department, the QA vendor, and all testing stakeholders, including, at a minimum, business users, MES third-party contractors, and external partners. This section documents accountability and escalation paths for defect resolution and schedule-related issues that may arise during testing activities.

C. Test Case and Script Development

This section describes the approach and timelines for developing test cases and test scripts and for preparing test data. It defines the processes for Department review and approval of test cases to confirm that they meet predefined standards prior to execution. Test cases define the specific conditions and step-by-step procedures used to verify that system functionality operates as intended. Test scripts automate the execution of those test cases and are developed using approved tools or frameworks to support efficient, repeatable, and consistent testing across Releases.

D. Entry and Exit Criteria

This section defines the entry and exit criteria for each test type to confirm that testing activities begin only when predefined conditions are met and are considered complete only when required outcomes are achieved and verified. It describes how entry and exit criteria are established to be specific, measurable, achievable, relevant, and time-bound, while balancing strict adherence with business needs through a risk-based approach. This approach prioritizes critical criteria and allows appropriate flexibility for lower-risk items. Additional details are available in the OHIP Solution Delivery Domain Document, Test Management Standard.

E. Testing Tools and Automation

This section identifies the testing tools (e.g., Jira or another tool approved by the Department) and the automation frameworks that will support testing activities, as applicable. It describes schedules for tool setup, configuration, and validation to confirm that tools are ready for use prior to the start of testing. This section also describes the Contractor’s approach to maximizing the use of automated testing to reduce cost and efficiently support each testing cycle, including the use of automated testing for regression and functional test cases, at a minimum. It explains how automated testing is integrated with CI/CD pipelines to support rapid validation during iterative Releases. Furthermore, it must explain how the Contractor plans to leverage time travel testing tools to simulate past, future, or frozen dates and times to test temporal rules. Additional information on testing tools is available in the OHIP Infrastructure & Operations Domain Document, Preferred Operational Tools Standard.

F. Test Data Requirements

This section defines test data requirements, including data creation and masking efforts needed to protect sensitive information during testing. It describes the processes for creating and refreshing test data to confirm

that it is clean consistent and supports specific testing procedures. This section also identifies Contractor responsibilities for creating and managing test data, unless otherwise agreed to by the Department.

G. Metrics and Reporting

This section defines how testing progress and outcomes are measured, including the format and frequency of test status reports. It identifies metrics such as pass and fail rates, defect density, and test coverage levels. This section identifies the following quality metrics and describes how they are calculated:

- **Test Coverage** – Percentage of design documents covered by testing
- **Automated Test Coverage** – Percentage of test cases that are automated
- **Test Cases Created** – Number of test cases created
- **Test Case Execution Results** – Number of test cases executed, passed, failed, and blocked
- **Defects Discovered** – Number of defects identified and their status
- **Regression Testing Defects** – Number of defects introduced by new code detected during regression testing
- **Defect Leakage** – Number of defects that escaped to higher environments
- **Defect Rejection Rate** – Percentage of submitted defects deemed invalid or nonreproducible
- **Defect Age** – Time from defect discovery through resolution

The Contractor must coordinate with the Department to incorporate these metrics into the KPI and Objectives and Key Results (OKR) Framework. Refer to **Section 5.5.1 – Key Performance Indicators and Objectives and Key Results** for additional information). The Department may request additional metrics to be tracked throughout the Contract term.

H. Communication Plan

This section outlines how progress will be communicated to the Department, including the scheduling of regular status meetings and mechanisms for issue escalation to support clear and ongoing communication. It also references standard governing communication related to testing activities, as described in the OHIP Solution Delivery Domain Document, Release Management Standard. The section addresses, at a minimum, the following communication elements:

- Scheduling and hosting regular testing status meetings
- Preparation and submission of weekly testing status reports
- Establishing escalation protocols for urgent defect resolution and compliance issues
- Identifying collaboration tools to support multi-stakeholder coordination and ongoing communication

I. Content for All Test Types

This section outlines the overall management approach for each test type and describes how each test type is designed to fully validate the various functions and features of the Converged E&E System and AMS. It also describes how requirements are traced to one (1) or more test cases to confirm that each requirement has been implemented and tested successfully.

The Department will review the TMP to confirm that it addresses the full spectrum of functions and features integral to the Converged E&E System and AMS. The Contractor must keep the TMP current by updating it based on findings identified during development and ongoing testing. The Contractor must obtain written approval from the Department for all changes to the approved TMP and incorporate approved updates into subsequent project phases.

5.2.7.2 Test Schedule

The Contractor must develop and submit a comprehensive Test Schedule to the Department for review and approval. This schedule must be developed in coordination with the availability of necessary Department resources. The Test Schedule must encompass the following elements, at a minimum, for comprehensive test activity planning and execution:

- **Objectives and Scope** – Defines the objectives of the testing phase; specifies which Converged E&E System and AMS components, functionalities, and features will undergo testing; outlines an organized timeline for each phase of the testing process; and identifies key milestones and deliverables within each phase
- **Roles and Responsibilities** – Documents the roles and responsibilities of all personnel involved in testing, including both Contractor and Department teams, to support resource availability and prevent scheduling conflicts
- **Test Environments** – Details the test environments required for each testing phase, including hardware, software, and network configurations, and specifies setup activities and timelines to confirm environments are ready before testing begins
- **Testing Tools and Automation Frameworks** – Lists applicable testing tools and automation frameworks to be used and identifies schedules for tool setup, configuration, and validation
- **Test Data Requirements** – Provides timelines for developing test cases and preparing test data and identifies Department review and approval of test cases prior to execution
- **Dependencies and Constraints** – Identifies dependencies and constraints, including reliance on other projects, departments, or external entities, and acknowledges risks that could impact the Test Schedule
- **Review and Approval Cycles** – Establishes timelines for interim and final review cycles, including Department review periods and Contractor remediation periods, and incorporates time buffers to accommodate feedback and necessary revisions, as described in **Section 5.8 – Deliverables**
- **Communication Strategy** – Specifies the cadence for reporting testing progress to the Department through regularly scheduled status meetings and identifies mechanisms for issue escalation
- **Progress and Outcome Measurement** – Defines how testing progress and outcomes will be measured, specifies the format and frequency of test status reports, and identifies metrics such as pass and fail rates, defect density, and coverage levels

The Contractor's successful execution of the Test Schedule is critical to support thorough and systematic testing and to meet the Department's expectations for quality and timeliness.

5.2.7.3 Test Types

The Contractor is responsible for performing testing and must manage, coordinate, perform, and facilitate the test types listed in this section. The Contractor may propose and complete, subject to Department approval, any additional testing it deems appropriate or required. The Contractor must document and track all identified defects within a Defects Log. The Contractor is responsible for addressing, assessing, and validating the correction of any item that previously failed testing before releasing the correction to the Department for re-testing.

A. Phase 1: Planning

The Department does not anticipate testing execution activities during this phase.

B. Phase 2: Iterations

The Contractor must execute the following test types during this phase.

B.1 Unit Testing

The Contractor must test each test case or test script acceptance criteria independently by isolating the test case or test script from the rest of the primary program or interface. Unit testing must occur prior to releasing the test case or test script to testers.

B.2 System Integration Testing

The Contractor must conduct SIT to validate that the integrated Converged E&E System as well as the AMS conforms to the approved design specifications for a given iteration. The Contractor must perform testing of test case or test script acceptance criteria within an environment that includes the full functionality of all previously developed system components.

B.3 Trading Partner Testing

The Contractor must perform Trading Partner Testing (TPT) to validate connectivity and ensure that electronic data is being accurately, securely, and seamlessly exchanged between the Converged E&E System and AMS and its external trading partners. Prior to conducting TPT, the Contractor must coordinate TPT planning which includes early notice to trading partners (at a minimum four [4] weeks before the beginning of TPT). Planning must also establish the volume of testing, frequency of requests, and volume of test data created by the trading partners. The Contractor must work collaboratively with the Department to establish interface connections with downstream and upstream trading partner systems. TPT must include all aspects of, and data points within, system interfaces, including data exchanges to and from the Converged E&E System and AMS. The Contractor must verify that data received by the Converged E&E System and AMS is successfully accepted, processed, and available for user access.

B.4 Solution Exploration Testing

The Contractor must provide the Department's testing team with high-level testing scripts to support the development of early system feature prototypes. The Contractor must support the Department's testing team in creating interface responses in a user-friendly and timely manner. As explained in **Section 5.2.5.3 – Solution Development Life Cycle**, Department staff will perform feature testing during each Iteration prior to UAT to confirm that developed prototypes meet requirements and design specifications. This testing allows the Department to preview and become familiar with the system prior to the UAT phase and to provide feedback and observations before the development of the system is complete.

Any feedback provided by the Department during solution exploration testing must be addressed by the Contractor as the system is developed. This includes, at a minimum, tracking feedback as potential test cases or test scripts to be refined and discussed during requirements-gathering sessions. Solution exploration testing will also be used to execute regression test cases on completed features to confirm that defects were not introduced during development of new features.

B.5 Usability and Accessibility Testing

The Contractor must perform usability and accessibility testing to demonstrate that the Converged E&E System and AMS meet NYS and federal accessibility requirements applicable to Medicaid, as detailed in the OHIP Solution Delivery Domain Document, Usability and Accessibility Standard. Usability and accessibility testing supports confirmation that the Converged E&E System and AMS are inclusive, user-friendly, and legally compliant and provides equal access for all individuals, regardless of their abilities or disabilities.

The Contractor must perform, at a minimum, the following tasks:

- Conduct usability testing at key development milestones, with participants reflecting the diversity of the user population
- Recruit representative users who mirror the actual or anticipated user base, including individuals with varying technical abilities and language backgrounds, with final end user selection subject to Department approval
- Provision a staging environment(s) for those users to conduct usability and accessibility testing
- Facilitate usability testing sessions to gather qualitative and quantitative feedback
- Summarize findings in written reports that include user feedback, pain points, recommendations, and priorities
- Collaborate with the Department to prioritize and implement usability improvements based on test results

The Contractor must perform usability and accessibility testing during phases 2, 3, and 4 to confirm that user input is considered at each stage of DDI.

C. Phase 3: Test Execution

The Contractor must execute the following testing types during this phase.

C.1 Data Conversion and Migration Testing

Prior to Deployment, the Contractor must perform DC testing and validation to validate that all records have been converted as agreed upon and documented in the approved Data Mapping Specification document (refer to **Section 5.8 – Deliverables**). Production data will be made available for testing only when necessary (e.g., dry runs for conversion testing). However, the Contractor must primarily rely on synthetic and de-identified data for testing. In the event that Production data is approved for use in testing, the Contractor must plan for and execute testing with the understanding that multiple data owners (e.g., CMS, IRS, SSA) may need to be consulted and/or approve ahead of any testing with Production data commencing. In addition, the Contractor must ETL data into the Converged E&E System and AMS for Department testing, review, and validation. The Contractor must provide exception and error reports for any data that fails conversion or migration throughout testing and at Deployment. The Contractor must propose a remediation approach and work with the Department to resolve all records and data fields identified as exceptions or errors. The project will not proceed to the Deployment phase until the Department has tested, reviewed, and confirmed that the DC&M are complete and successful.

C.2 End-to-End Testing

E2E testing is used to test the entire system from start to finish, in addition to its integration with external interfaces. The primary purpose of testing is to identify system dependencies and confirm that communication with other systems, interfaces, and databases functions correctly in Production. E2E testing verifies whether an application works as expected by simulating complete user journeys and validating interactions across all system layers, including the user interface (UI), API, and database. E2E testing is performed by QA teams after unit and integration testing and may be conducted manually or through automation.

C.3 Performance, Stress, and Load Testing

The Contractor must execute performance, stress, and load testing to ensure SLA service performance levels are met and to demonstrate the reliability of the system, as follows:

- **Performance Testing** – Evaluates how the system performs in terms of responsiveness and stability under a particular workload
- **Stress Testing** – Evaluates the extent to which a system continues to perform when subjected to extreme workloads or when a component has been compromised
- **Load Testing** – Simulates normal operating conditions and expected user load to determine how the system behaves

These tests determine performance benchmarks, upper performance limits, and maximum operating capacity. The Contractor must make any necessary modifications to confirm the system achieves acceptable performance levels in the Production Environment and complies with the associated SLAs defined in **Attachment F – SLAs**. Based on prior experience, the Contractor must provide recommendations regarding the testing approach and tools. Performance, stress, and load testing must be performed throughout the phased implementation as additional populations are migrated.

C.4 User Acceptance Testing

UAT must include E2E system testing performed by Department staff, vendor partners, and other entities, as determined by the Department, to verify that the system accurately executes business rules, requirements, design and interface specifications, future state work processes, and real-life scenarios. The Contractor must conduct data seeding and provide standard system test scenarios, test cases, and test scripts to the Department. The Department will work collaboratively with the Contractor to update and finalize the test scenarios, which should reflect business scenarios, as well as test cases and test scripts.

The Contractor must ensure that UAT teams can create interface responses in a user-friendly and timely manner to support UAT completion. The Contractor must collaborate with the Department to define testing processes and procedures and determine final acceptance criteria. These processes and procedures should incorporate accessibility best practices, such as 18F guidelines, to support diverse user needs and incorporate internationalization and plain language principles.

In addition, the Contractor must incorporate HCD principles by engaging representative end users, including consumers, as appropriate, in UAT activities. Test cases must reflect real-world workflows and user journeys to validate usability, accessibility, and overall UX.

The Department will provide personnel to perform UAT, and the Contractor must manage and coordinate UAT activities, including providing onsite support staff. UAT must be performed on the final system version intended for Deployment to Production. The Contractor must provide support, including training, technical assistance, and issue resolution, for testers during UAT execution.

Conceptually, the code base promoted to UAT should be considered a “production candidate” with minimal functional defects so that the Department’s focus is on validating business capabilities during UAT.

C.5 Regression Testing

CMS expects states to perform ongoing testing before and after production to validate changes to the Converged E&E System and AMS and share testing results with CMS. Once changes are made to the system, such as new functionality or significant modifications resulting from defect resolution, a series of tests must be performed to confirm that all pre-existing functionality remains operational and continues to pass previously executed tests.

The Contractor must support and conduct regression testing. Regression testing on the entirety of the Converged E&E System and AMS must occur throughout the Contract term for each Release to ensure that new changes do not introduce defects into existing functionality. This includes testing existing functionality as changes or enhancements are made to the system. Each time a change is made to functionality, data structure, or business rules, the Contractor must perform regression testing to confirm that all rules are executing as expected. The Contractor must ensure that UAT and regression testing are not conducted concurrently. These activities must be scheduled and executed separately to maintain test integrity and avoid conflicts in validation processes.

C.6 Phased Implementation Testing

The Contractor must support and conduct any testing the Department requires during a phased implementation. This testing may include unit testing and SIT of new functionality, performance testing, additional rounds of UAT, or other testing activities deemed necessary to support successful implementation.

C.7 Security and Privacy Testing

The Contractor must ensure the Converged E&E System and AMS undergo comprehensive security reviews. This includes testing key safeguards, verifying that auditing processes are in place, and conducting "ethical hacking." In addition, the Contractor must perform testing to demonstrate that the Converged E&E System and AMS meet applicable security and privacy requirements. Information on security and privacy compliance is available in the OHIP Security, Privacy, and Compliance Domain Document, Security and Privacy Compliance Standard. The Contractor must establish compliance checkpoints throughout testing phases to validate adherence to security and privacy requirements as detailed in **Section 5.7 – Security and Privacy**.

The Department or a designated party, such as a third-party assessor or vendor, will conduct vulnerability assessment testing.

D. Phase 4: Deployment

The Contractor must execute the following testing types during this phase.

D.1 Disaster Recovery Testing

The Contractor must perform DR testing as described in the OHIP Infrastructure & Operations Domain Document, Infrastructure Management Standard to ensure the steps outlined in the BC/DR Plan function appropriately and continuous operations are successful. This testing must ensure that all data continues to be accessible and that the system functions normally.

DR testing must occur annually. This testing must include both manual and automated procedures to testing the comprehensive recovery of the Converged E&E System and AMS and account for the unique features of a consumer facing system that is available at all times (twenty-four [24] hours per day, three-hundred sixty-five [365] days per year). Adequate resources must also be allocated to support these recovery testing efforts.

DR testing must include a structured walk-through, testing of the communications system, a full recovery exercise, and validation of compliance with the defined business requirements. The approach for testing and reviewing the BC/DR Plan must include test planning, test preparation, and execution of the requisite test steps in coordination with the identified DR stakeholders. The Contractor and the Department will jointly decide the applications to be tested, data volumes, and duration of tests. In addition to the Converged E&E System and AMS, DR solutions provided by third parties will be included in the test planning.

DR testing must include the following:

- **Tabletop Exercise(s)** – Tabletop exercises are scenario-based tests where disaster recovery planning team members discuss a disaster scenario and follow the BC/DR Plan in a small group setting, utilizing printed plan content and materials.
- **Partial/Component Testing** – This test focuses on validating that selected components of the solution can be recovered in the event of disruption.
- **Full Solution Testing** – This type of test involves testing the full recovery capability of the solution.

D.2 Post-Deployment Testing

The Contractor must perform any required testing post-Deployment throughout ongoing M&O. Testing will be required for any defects involving code that was designed, developed, or implemented by the Contractor. The Contractor must provide test results to the Department for review and approval. In addition, the Contractor must perform testing on any Releases, upgrades, or enhancements applied to the Department's environments.

5.2.7.4 Defect Management

The Contractor must provide defect management services throughout the Contract term, utilizing tools such as Jira or another tool approved by the Department. Refer to the OHIP Infrastructure & Operations Domain Document, Preferred Operational Tools Standard for additional tool information. Defect management includes identifying, analyzing, documenting, tracking, reporting, and resolving defects from all testing phases.

Test team members must be trained to recognize and report defects accurately. Each defect must be documented in detail, categorized by severity, and prioritized for resolution. The Contractor must perform an RCA for critical and high defects to prevent recurrence. The Contractor must also perform an RCA regardless of severity, at the Department's request. Refer to the OHIP Solution Delivery Domain Document, Test Management Standard for additional information on defect management and defect reporting.

The Contractor must maintain an up-to-date defect log that details status, responsible personnel, and resolution timelines. In addition, the Contractor must provide regular reports on defect status and resolution progress to the Department. The Contractor's timely resolution of defects must follow IT industry testing standards and coordinated practices among development, testing, and other teams. Alignment with industry standards supports streamlined testing procedures, reduced errors, and benchmarking against industry best practices. Applicable standards include Institute of Electrical and Electronics Engineers (IEEE) 829, International Organization for Standardization (ISO)/International Electrotechnical Commission (IEC) 29119, American Society for Testing and Materials (ASTM) E2659, and International Software Testing Qualifications Board (ISTQB).

After fixing a defect, the Contractor must validate and verify the fix and perform regression testing to confirm that no new issues are introduced. Refer to the Regression Testing subsection in **Section 5.2.7.3.C – Phase 3: Test Execution** for additional information.

Effective communication and collaboration between the Contractor and all stakeholders is essential. The Contractor must pursue continuous improvement by regularly analyzing defect metrics and updating processes based on insights and feedback.

5.2.7.5 Review and Approval of Testing

The Contractor must provide the Department with full access to the TMP, test schedule, documentation, processes, procedures, standards, and test results to support Department review and the conduct of QA, verification, and validation activities. The Contractor must also provide all test scripts, test cases, and test results for which the Contractor is responsible to the Department for review and approval.

The Department's review of test results may include attempts to replicate the results reported by the Contractor. If replication of a test is not possible, the Department will request that the Contractor perform additional testing to verify any functionality claims made by the Contractor. The Department will have sole discretion over the acceptance of test results for each test type.

System Testing Requirements are provided in in **Attachment E – RFP Requirements Matrix.**

5.2.8 Major System Updates, Capacity-Based Team, and Enhancements

Separate from implementation of the Converged E&E System, ongoing changes will be required to improve both the Converged E&E System and the AMS throughout the Contract term. This DDI work will be necessary to adapt to evolving business needs, technological developments, and a constantly changing legislative and regulatory environment. These changes will be handled through three (3) distinct mechanisms, as described in the sections that follow.

Work performed for major system updates, by the Capacity-Based Team (CBT), and for enhancements is distinct and separate from M&O. For additional details on M&O, refer to **Section 5.2.4 – Maintenance and Operations**.

5.2.8.1 Major System Updates

Major system updates are significant, pre-planned updates to core software components or tools. These updates typically introduce major new features, architectural changes, or compatibility updates. Major system updates may include strategic changes to the Production Environment that introduce new functionality or materially alter the system's architecture.

Major system updates are generally expected to follow a longer Release cycle, such as twelve (12) to eighteen (18) months, although smaller, more iterative Releases may be used to reduce risk.

The Department will establish a budget for major system updates as part of this Contract. All work must follow the Task Order process described in **Section 5.2.8.4 – Task Order Process** to define the scope, outcomes, deliverables, resources, and budget for approved major system updates.

Specific major system updates will be defined at a detailed level throughout the Contract term. Identification, definition, and prioritization of major system updates is expected to be a collaborative process between the Department and the Contractor and may be driven by strategic program priorities, regulatory requirements, and technology needs.

The Contractor must be adaptable and capable of delivering major system updates of high technical quality, including under potentially compressed time frames. The Department, at its sole discretion, is responsible for approving the Contractor to begin work on any major system updates to the Converged E&E System or the AMS.

5.2.8.2 Capacity-Based Team

The Contractor must provide one (1) stable, cross-functional CBT that enables the Department to flexibly pivot as policy changes occur while maintaining predictable costs.

The CBT also supports continuity of domain knowledge. When capacity is increased for development spikes or one-time efforts, institutional knowledge of the system and supported programs can be lost when that work concludes. The CBT is intended to mitigate this risk.

The CBT will operate on a monthly iteration cadence and address a steady stream of work. This structure is intended to establish a pay-for-performance rhythm. Prior to each iteration, the Department, through a Product Owner, will determine, in collaboration with the Contractor, which tasks the CBT will address based on a Department-prioritized product backlog.

By default, the CBT will work to support the following:

- **New Products** – Introduction of new software, services, or tools to provide new capabilities
- **Changes to or Replacement of Products** – Decommissioning and replacement of existing software, services, or tools, including full migration of functionality and user access
- **Minor System Updates** – Incremental updates focused on stability, security, and performance improvements

The Contractor is responsible for proposing CBT resources, subject to Department approval. The CBT must collectively possess the skills necessary to support a wide range of work to improve the Converged E&E System and the AMS.

The CBT must include eight (8) dedicated full-time individuals (i.e., not full-time equivalents [FTEs]) and will be considered Key Staff, subject to the requirements in **Section 5.3 – Staffing**. The CBT must include the following roles:

- One (1) Product Manager
- One (1) UX Researcher/Designer
- One (1) Technical Lead Engineer
- One (1) Development and Operations (DevOps) Engineer
- Three (3) Full Stack Engineers
- One (1) Medicaid/SBE SME

The Contractor may propose changes to the CBT structure; however, all changes are subject to Department approval.

5.2.8.3 Enhancements

When the CBT is operating at capacity and the Department wishes to initiate additional DDI work related to new products, changes to or replacement of products, or minor system updates (as described in **Section 5.2.8.2 – Capacity-Based Team**), the Department may initiate an enhancement.

The Department and the Contractor will establish a budget for enhancements as part of this Contract (refer to **Attachment B – Cost Proposal Form** for additional details). All enhancement work must follow the Task Order process described in **Section 5.2.8.4 – Task Order Process** to define scope, deliverables, resources, and budget for approved enhancements. Enhancements may be used to stand up additional CBTs.

Specific enhancements will be defined at a detailed level throughout the Contract term. Identification, definition, and prioritization of enhancements is expected to be a collaborative process between the Department and the Contractor and may be driven by strategic program priorities, regulatory requirements, and technology needs. The Contractor must be adaptable and capable of delivering enhancements of high technical quality, including under potentially compressed time frames.

The Department, at its sole discretion, is responsible for approving the Contractor to begin work on any enhancements to the Converged E&E System or the AMS.

5.2.8.4 Task Order Process

The Contractor must adhere to the following Task Order process to support precision and transparency when defining the scope of major system updates or enhancements:

1. The Department identifies and prioritizes potential major system updates or enhancements and submits a request to the Contractor.
2. The Contractor drafts a Task Order within five (5) or ten (10) business days as determined by the Department. If the Contractor determines that complexity of the request prevents completion of the Task Order within the specified timeframe, the Contractor may submit a written request for extension to the Department Contract Manager within two (2) Business Days of the initial request. The Task Order must define, as applicable, the following:

    a. Scope
    b. Tasks
    c. Required artifacts
    d. Deliverables
    e. Detailed schedule
    f. Release timeline
    g. Named resources
    h. Resource titles and associated hourly rates, consistent with the resource titles and bill rates approved in the Contractor's Cost Proposal
    i. Estimated hours for each resource
    j. Assumptions
    k. Constraints
    l. Dependencies

    Where applicable, a drafted Task Order must describe how the defined scope will integrate with ongoing DDI activities. Based on the scope of the proposed enhancement or major system update, the Department will direct the Contractor regarding the SDLC framework to be used. The Department may also require additional deliverables or SLAs based on scope.
3. The Department will review, negotiate, and provide comments on the Task Order. The Contractor will then revise the Task Order in accordance with Department direction. The Department, acting in its sole discretion, will approve or deny the Task Order for a major system update or enhancement through a formal transmittal process, as defined in the Deliverable Management Plan. No work or billing may commence without the Department's approval of the Task Order.

The Contractor may not pause or delay other work as a result of drafting a Task Order.

The Contractor must document the Task Order and transmittal processes in the initial update to the PMP. Refer to **Section 5.2.2 – Project Management** for additional information on PMP requirements.

The Contractor must prepare a System Enhancement and Upgrade Report that identifies areas for improvement and proposes opportunities to improve efficiency, security, and functionality. Alternatively, the Department may identify and prioritize potential major system updates or enhancements and submit a request directly to the Contractor. In such cases, the Department must provide provisional approval of the proposed upgrade prior to initiation of Step 2 of the Task Order process. Additional information regarding the System Enhancement and Upgrade Report is provided in **Section 5.8 – Deliverables**.

Full details regarding major system updates, the CBT, and enhancement requirements are provided in **Attachment E – RFP Requirements Matrix**.

5.2.9 Artificial Intelligence Usage

The Contractor is encouraged to use AI to enhance ROI by improving quality and performance and reducing time and cost.

All AI usage must comply with applicable federal and State laws, regulations, policies, standards, and baselines, including the NYS ITS Policy for the Acceptable Use of AI Technologies (NYS-P24-001) and the OHIP AI Security and Privacy Baseline. Any use or implementation of AI is subject to section 6.10 herein. Any use or implementation of AI must be approved by the Department prior to use or implementation. The Contractor may submit new uses of AI for approval at any time. The Department reserves the right to disallow AI usage for any reason.

AI usage requirements are provided in **Attachment E – RFP Requirements Matrix**.

5.2.10 Centers for Medicare & Medicaid Services Certification and Compliance

Throughout implementation of the Converged E&E System, the Department must complete certification and compliance processes with CMS. The Contractor must support the Department in meeting these certification and compliance requirements. At a minimum, these efforts include the SMC, Authorization to Operate (ATO), and Exchange Blueprint processes.

5.2.10.1 Streamlined Modular Certification

State Medicaid Director Letter (SMDL) #22-001, issued by CMS on April 14, 2022, provides updated guidance for MES certification, emphasizing the SMC process. This guidance introduces an outcomes-based certification (OBC) framework that replaces the Medicaid Enterprise Certification Toolkit (MECT) and the Medicaid E&E Toolkit (MEET).

SMD #22-001 is significant for state Medicaid agencies procuring vendors for the DDI of an E&E system, as it defines a more efficient and flexible approach to certification and is required for the Department to receive enhanced federal matching funds for expenditures on the MES. The SMC process is intended to reduce administrative burden while ensuring compliance with federal requirements and promoting measurable improvements in state Medicaid programs. This streamlined approach supports states in leveraging data and module-level testing to enhance program effectiveness, while supporting continuous improvement and transparency.

The SMC approach is designed to:

- Demonstrate measurable improvements to the State's Medicaid program resulting from delivery of a new module or enhancement to an existing system.
- Leverage data and testing to inform assessment of successful system delivery and support subsequent funding decisions.
- Enable operational reporting on system performance and functionality to maintain ongoing oversight through data and evidence demonstrating achievement of required and desired outcomes.
- Reduce burden on states and CMS during the certification process without compromising CMS responsibility to confirm systems meet statutory and regulatory requirements.
- Advance incrementally toward a fully realized OBC process across the entire MES.

The SMC process consists of the following phases:

- **Project Planning** – The State must include measurable outcomes and metrics in the APD and APD Update (APD-U) that align with desired Medicaid program goals.
- **Procurement Planning** – Prior to releasing an RFP, the State must document approved outcomes and metrics for discussion and approval with the CMS State Officer.
- **Development** – The State must develop a Master Test Plan (MTP), in consultation with the Testing Guidance Framework, and submit required monthly project status reports
- **Pre-Production (ORR)** – The State must undergo an ORR with the CMS State Officer prior to releasing a system or module into production.
- **Production (Certification Review [CR])** – After the system has been in production for at least six (6) months, and the State can report on approved metrics, CMS will conduct a CR.
- **Operational Reporting** – States must submit monthly reports containing data and other evidence demonstrating that modules meet requirements for federal matching funds.

As stated in SMD #22-001, the SMC process is structured around three (3) core elements.

A. Conditions for Enhanced Funding

As a condition of receiving enhanced federal matching funds for state expenditures on MES, states must confirm that the system complies with all conditions for enhanced DDI matching, as provided in 42 CFR § 433.112. The system must also remain compliant with federal Medicaid requirements for enhanced operations matching once it is in operation, as provided in 42 CFR § 433.116.

B. Outcomes

Outcomes describe measurable improvements to a state's Medicaid program that result from delivery of a new module or enhancement to an existing module. Outcomes should support Medicaid program priorities, be directly enabled by the state's IT project, and be clearly stated in the APD, as required under 45 CFR Part 95, Subpart F.

CMS works closely with states to identify and confirm that intended project outcomes are achieved and encourages development of measurable, achievable outcomes that reflect MES project goals. The SMC process identifies the following two (2) types of outcomes:

- **CMS-required** – Define baseline statutory and regulatory expectations for MES, including contributions to efficient, economical, and effective administration of the state's Medicaid program
- **State-specific** – Reflect unique characteristics or circumstances of the state or territory and its Medicaid program and focus on improvements not specifically addressed through CMS-required outcomes

C. Metrics

Metrics provide evidence of whether intended outcomes are achieved through delivery of a new module or enhancement to an existing module. States must submit operational reports to CMS containing metrics on an annual basis in support of Operational APD (OAPD) requests. CMS may determine that some metrics require more frequent reporting, which will be coordinated with the state through the CMS State Officer.

In accordance with 42 CFR §§ 433.112(b)(15) and 433.116(b), (c), and (i), states must be capable of producing data, reports, and performance information from and about their MES modules. This capability is a condition of receiving enhanced federal matching for MES expenditures and supports evaluation of system performance, transparency and accountability, and continuous improvement in business operations. Metrics reporting also helps confirm that the MES and its modules meet statutory and regulatory requirements as well

as state program goals. It also provides states and CMS with early and ongoing insight into program evaluation and opportunities for continuous improvement.

The Contractor must consider these metrics when establishing KPIs and OKRs. Refer to **Section 5.5.1 – Key Performance Indicators and Objectives and Key Results** for additional details.

5.2.10.2 Authorization to Operate

An ATO is a formal declaration required by CMS for information systems to confirm that they meet federal security and compliance requirements prior to use in a Production Environment. The ATO process involves rigorously applying, testing, and documenting security controls and conducting a comprehensive risk review to demonstrate system adherence to federal requirements, such as those under the Federal Information Security Management Act (FISMA). An ATO is granted by a designated Authorizing Official (AO) and must be renewed every three (3) years, or sooner if the system undergoes significant changes, to maintain protection of critical resources and sensitive information.

The ATO process is mapped to the system life cycle and consists of the following phases:

- **Initiate** – In this phase, the State documents the business need for the system. If a similar system does not already exist within CMS, activities such as intake, stakeholder engagement, and development of technical documentation occur. System categorization, security controls, and boundaries are initially defined during this phase.
- **Develop and Assess** – During this phase, the system is designed and built in accordance with defined requirements and deployed in a non-Production Environment for testing. Activities include implementation of security controls, completion of required security artifacts, and assessment activities to evaluate the system's security posture.
- **Operate** – Once the ATO is granted, the system enters the operate phase and is used for its intended purpose. Ongoing security activities are performed to maintain system integrity, including security control assessments, risk assessments, contingency plan testing, and penetration testing. System documentation is updated as changes occur.
- **Retire** – When the system reaches the end of its operational life or Contract term, it enters the retire phase. A controlled process is followed to decommission the system, including compliance with federal requirements, completion of final documentation, data archiving, and proper disposal of hardware.

CMS also requires a Change Notification (CN) and a formal reauthorization process when an information system undergoes a significant change that could affect its security posture. This process is distinct from the standard three (3)-year renewal cycle and is anticipated given the scope of the Converged E&E System and AMS project. Reauthorization typically includes completion of a Security Impact Analysis (SIA) to assess the impact of the change, followed by scheduling a new Cybersecurity and Risk Assessment Program (CSRAP) assessment.

5.2.10.3 Exchange Blueprint Process

A core component of federal compliance for operation of an SBE is successful submission and approval of the CMS Exchange Blueprint Application. The Exchange Blueprint Application serves as the formal submission to CMS documenting how the State's technology platform, operational plans, and governance structure meet all legal and functional requirements for operation of an SBE. This includes obtaining approval from the U.S. Department of Health and Human Services (HHS) for an Authority to Connect (ATC) to the FDSH Production Environment. The Department has already received approval for their Exchange Blueprint, but the changes brought about by the Converged E&E System Project will require updates to the Exchange Blueprint.

ATC involves a complete independent assessment of all security and privacy controls conducted over a three (3)-year period including the following:

- Undergoing a full controls assessment at the end of the ATC lifespan
- Delivering the full and final ATC package no less than ninety (90) days prior to the ATC's expiration
- Completing independent assessments of Annual Attestations per the CMS requirements upon completion of the Year-three (3) assessment, with the final and full ATC package delivered to CMS no less than ninety (90) days prior to the ATC's expiration
- Responding to CMS guidance on what, if any, documents or independent testing must be completed for each significant system change based on CMS's determination of any impact of such change to the ATC, which may require that the Department assess a subset of the security and privacy controls each year so that the organization can confirm that all controls are assessed during a three (3)-year period

The Contractor is a critical partner in this process and is responsible for providing documentation, evidence, and system capabilities needed to support the Department in achieving and maintaining conditional or full approval of the Exchange Blueprint Application.

The Department obtained MES certification for the MECM System and AMS from CMS on August 31st, 2026. The Contractor must support the Department in obtaining MES certification for new functionality introduced in the Converged E&E System. In addition, the Contractor must support the Department during the operational reporting phase of the SMC process, the operate phase of the ATO life cycle, and any recertification activities required for the Converged E&E System and the AMS.

5.2.11 Transition-Out

Transition-Out refers to the period during which the Contractor must transition Contract activities, performed under the Contract resulting from this RFP, to the Department or a Successor Contractor. The Department, in its sole discretion, reserves the right to transition discrete services, functions, environments, or components of the Converged E&E System and/or the AMS to the Department or a Department-selected entity at any point during the Contract term as a part of option-year negotiations. The Department must approve the initiation of the Transition-Out period before Transition-Out activities may begin. The Transition-Out scope areas include SA, PM, M&O, and DDI.

The Department will retain full ownership and unrestricted access to the Converged E&E System and the AMS, as well as all work products. The Contractor must perform all Transition-Out activities in a manner that maintains uninterrupted services of the Converged E&E System and the AMS. The Contractor must provide sufficient knowledge and documentation to the Department or a Successor Contractor to continue operations in accordance with the Department's OHIP MES Governance Framework and the OHIP MES Standards Framework. This includes, at a minimum, a complete and total transfer of all data, files, reports, records, documentation, source code, licenses, access credentials, operational procedures, and infrastructure configurations generated from the inception through the end of the Contract to the Department or a Successor Contractor.

The Contractor must also provide technical and business process support as required by the Department to transition Contract requirements to the Department or a Successor Contractor. This includes the following:

- Validating the transferability of software and tool licenses
- Handing off configuration assets, customizations, and documentation
- Supporting joint Cutover planning
- Supporting parallel or shadow operations
- Handing off of M&O processes

The Contractor must manage and maintain a sufficient number of staff to meet all requirements listed in this RFP during the Transition-Out period. All reporting and record requirements, security standards, and performance standards continue to apply during the Transition-Out period.

Upon receipt of notice from the Department to facilitate a phased transition, the Contractor must fully cooperate in developing and executing a comprehensive transition plan for the prescribed service, function, environment, or component. This plan must provide for an orderly transfer of all associated responsibilities, documentation, intellectual property, and knowledge to the Department or its designated entity. The Contractor's full and timely cooperation in this process is a material condition of the Contract.

Note: Transition-Out is not to be confused with Contract Closeout activities, which occur concurrently and are discussed in **Section 5.2.2.9 – Contract Closeout**.

The Contractor must develop a Transition-Out Plan that includes, at a minimum, the following:

- Items and components to be transitioned
- Approach to be used for transitioning
- Method for conducting knowledge transfer
- Processes and procedures required to carry out the transition

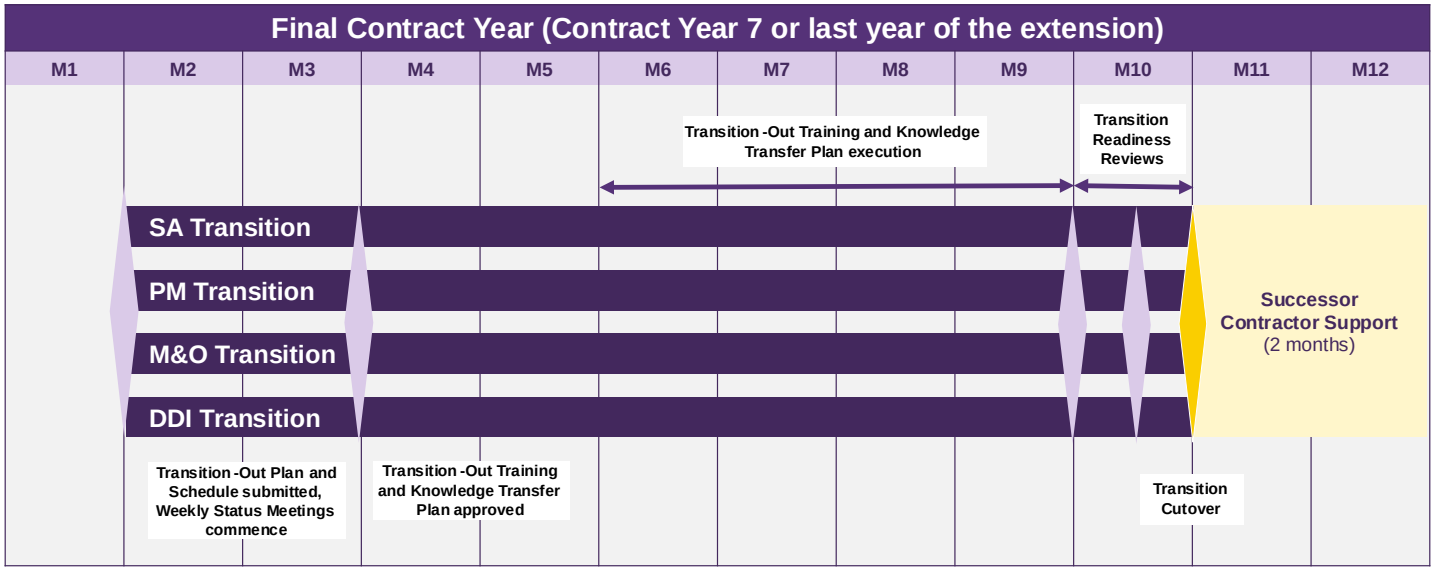
The transition process includes the Contractor working in coordination with the Department or a Successor Contractor to cutover all Converged E&E System and AMS services, functions, and related items.

A Transition-Out Schedule is required to identify and manage all Transition-Out activities and tasks required by the Transition-Out Plan. The Contractor must develop a Transition-Out Schedule to securely transfer items such as data and records generated from the inception through the end of the Contract.

The Transition-Out Plan and Schedule must be submitted to the Department no later than eleven (11) months before the last day of the Contract, or upon the Contractor's receipt of a notice of termination, or at the request of the Department, whichever is sooner. The Contractor must obtain approval from the Department to initiate the Transition-Out period before Transition-Out activities begin.

The Transition-Out period is expected to occur over a period of no less than nine (9) months. Following completion of the Transition-Out activities and Transition Cutover, the Contractor must provide an additional two (2) months of post-Transition Cutover assistance. The Transition-Out timeline is presented in **Figure 19**.

Figure 19 – Transition-Out Timeline



5.2.11.1 Transition-Out Plan

The Transition-Out Plan is a comprehensive plan prepared by the Contractor that outlines the tasks and deliverables required to terminate the Contract and transfer all services, functions, and operations to the Department or a Successor Contractor. The plan must include a detailed schedule, descriptions of each task and deliverable, and identification of staff roles and responsibilities. The Transition-Out Plan must also include, at a minimum, the following:

- Plan and schedule for the following:
    - Transitioning system documentation and source code
    - Addressing in-flight system or application modifications or enhancements, including whether such work will be completed, handed off, or discontinued
- Training plan for transferring knowledge to the Department or a Successor Contractor, including the following:
    - Schedule of training sessions, site visits (if applicable), and demonstrations
    - Number of staff to be trained
    - Training topics and objectives
    - Length, location, and delivery method for each training session

The Contractor is responsible for identifying all third-party tools, services, and licenses and coordinating termination or replacement strategies with the Department in accordance with the OHIP Infrastructure & Operations Domain Document, Ongoing Licensing and Support Standard. Documentation and support for all system integrations, APIs, and data exchange protocols must also be delivered during the Transition-Out period.

The Contractor must define measurable success criteria for Transition-Out, including delivery of required artifacts, completion of knowledge transfer sessions, confirmation of system access revocation, and Department signoff. The Contractor must also establish performance metrics and KPIs, including, at a minimum, the following:

- Schedule adherence
- Issue and risk resolution timelines
- Documentation quality
- Resource readiness

The Contractor must initiate Transition-Out activities only upon the Department's request and approval.

5.2.11.2 Transition-Out Schedule

The Transition-Out Schedule is a detailed schedule created by the Contractor to track and manage the activities and tasks involved in transitioning out of the Contract. The Contractor must create the Transition-Out Schedule using the Department's preferred PM tool, as defined in the OHIP Infrastructure & Operations Domain Document, Preferred Operational Tools Standard. The schedule must consider risk management implications and integrate activities across the Department, the Contractor, and a potential Successor Contractor.

The Transition-Out Schedule must provide a structured timetable to guide the transition process and must be baselined, with ongoing tracking of planned activities against actuals. The Contractor must submit a baseline Transition-Out Schedule to the Department for review and approval.

5.2.11.3 Transition-Out Training and Knowledge Transfer Plan and Sessions

The Contractor must develop a Transition-Out Training and Knowledge Transfer Plan and must conduct training sessions and demonstrations to support Transition-Out activities, including knowledge transfer. During Transition-Out, the Contractor must hand off the system, documentation, and knowledge in a manner that aligns with applicable federal standards and compliance frameworks, including the following:

- CMS SMC
- MITA
- APD
- Interoperability standards such as the following:
    - FHIR
    - United States Core Data for Interoperability (USCDI)
    - Trusted Exchange Framework and Common Agreement (TEFCA)

These activities must be designed to confirm that Transition-Out requirements have been executed accurately and in a timely manner. Transition-Out activities must involve Contractor staff with demonstrated expertise in applicable federal standards and compliance requirements.

Training sessions and demonstrations must include presentation of logical and physical system operations. They must be structured knowledge transfer sessions led by personnel with direct experience supporting the system.

With the Department's written acceptance, the Contractor must coordinate specific dates and times for training sessions and demonstrations. The Department will evaluate Transition-Out based on the following:

- Delivery of complete federally compliant documentation
- Quality of structured knowledge transfer sessions
- Verified qualifications of transition leads
- Clear mapping of federal requirements to system components and operational procedures

Prior to conducting training sessions or demonstrations, the Contractor must submit the format and content of all knowledge transfer materials to the Department for advance review and approval.

5.2.11.4 Transition-Out Knowledge Transfer Artifacts

Transition-Out Knowledge Transfer Artifacts include all updated M&O documentation, training materials, demonstrations, and other items produced by the Contractor that are necessary for the Department or a Successor Contractor to assume all services, functions, and operations.

5.2.11.5 Transition-Out Weekly and Monthly Status Reports

Transition-Out status meetings and reports document completion of Transition-Out activities and provide updates on transition progress. The Contractor must develop weekly and monthly Transition-Out status reports that describe progress for each task, deliverable, and milestone.

Weekly Transition-Out status reports must include the following:

- Detailed progress against the approved Transition-Out Schedule
- Completed tasks and upcoming tasks
- Risks and issues, including associated mitigation actions
- KPIs relevant to Transition-Out activities

Weekly Transition-Out status reports must be submitted weekly during the Transition-Out period and serve as the basis for ongoing monitoring and decision-making by the Department. KPI data must also be included in weekly Transition-Out status reports and Readiness Review updates.

The Contractor must also conduct monthly status report meetings with the Department or a Successor Contractor to review the status of Transition-Out activities, tasks, and deliverables. The Contractor must schedule and conduct these monthly status report meetings as requested by the Department.

5.2.11.6 Transition-Out Readiness Reviews

The Contractor must conduct Transition-Out Readiness Reviews with the Department for all services, functions, and operations identified in the Transition-Out Plan to provide evidence of progress in transitioning responsibilities to the Department or a Successor Contractor.

Transition-Out Readiness Reviews must encompass all scope areas: SA, PM, M&O, and any DDI work that is underway. The reviews must include, at a minimum, elements such as the status of transition component migration activities, training, and knowledge transfer, along with corresponding artifacts.

Transition-Out Readiness Reviews will confirm that the Contractor no longer has system access following the Transition Cutover.

5.2.11.7 Post-Transition Cutover Assistance

Following the transfer of all Contractor responsibilities to the Department or a Successor Contractor, the Contractor must provide ad hoc technical assistance for a period of two (2) months to support post-Transition Cutover questions or issues.

Full details of Transition-Out requirements are provided in **Attachment E – RFP Requirements Matrix**.

5.3 Staffing

The Contractor is responsible for assuming M&O of the Converged E&E System and AMS, performing system enhancements, and migrating NYSOH System functionality to the Converged E&E System in accordance with the OHIP Solution Delivery Domain Document, SDLC Standard and requirements referenced in **Section 5.2.5.3 – Solution Development Life Cycle**.

The Contractor is expected to supply a cohesive team of personnel who possess the requisite knowledge, skills, and experience to comply with the SOW defined in this RFP. The Contractor must provide all Key Staff as well as Support Staff. Key Staff descriptions and required qualifications are detailed in **Exhibit G.26 Converged E&E System and AMS Staffing Table Key Staff**.

All proposed Key and Support Staff must possess the following:

- Advanced oral and written communication skills
- Ability to perform assigned roles with minimal management oversight
- Compliance with the role qualifications provided in this RFP
- Strong analytical, organizational, and problem-solving abilities
- Willingness and ability to actively participate in designated project meetings, including the following:
    - Represent the best interests of the Department
    - Identify and escalate issues as appropriate
    - Contribute to required weekly, or monthly, or quarterly status reports

The Contractor is responsible for ensuring that all Contractor staff, including subcontractors, clearly understand their roles and responsibilities, adhere to relevant Department policies, and complete mandatory Department training on time. The Contractor must maintain a tracker for completion status of all mandatory staff training (including annual NYS-required trainings) within the Department's document repository. The Contractor must be responsible for coordinating with Department staff to capture onboarding and offboarding requirements and incorporate them into the Contractor's onboarding and offboarding processes. The Contractor must be responsible for all knowledge transfer to incoming staff, including creation, maintenance, and delivery of knowledge transfer documentation to the Department.

5.3.1 Federal Domain Expertise

The Contractor must demonstrate that proposed Key and Support Staff possess relevant federal domain expertise critical to the success of the Converged E&E System initiative. This includes direct experience with domains such as CMS SMC, MITA, and federal interoperability standards, including FHIR, USCDI, and TEFCA. Additionally, the Contractor must demonstrate that proposed Key and Support Staff have experience working with IRS FTI authorizations and safeguards, as well as the SSA State Data Exchange (SDX) and federal verification services.

5.3.2 Key Staff

The Bidder must provide resumes for all proposed Key Staff and any additional resources requested by the Department for consideration and approval as part of their proposal. The Department reserves the right to review all resumes, interview proposed staff, reject any resource deemed unacceptable, and require removal and replacement of any Contractor resource during the Contract term that does not meet performance expectations or other requirements established by the Department. Details regarding staffing SLAs are available in **Attachment F – SLAs**.

Proposed Key Staff must be available full-time to support the SOW throughout the Contract term. Not all Key Staff are required to be onboarded at the beginning of the Contract. The Contractor must assemble their project team at the primary project site no later than two (2) weeks following Contract approval and execution and must be onsite fifty percent (50%) or more of the time. Being onsite means co-locating with the Department's staff at the office facility described in **Section 5.4 – Office Facility**. Key Staff must be employees of the Contractor.

The Department expects the Contractor to minimize Key Staff turnover to the extent possible. Key Staff assigned to support the SOW must be dedicated to the project on a long-term basis. Key Staff commitment to role-based responsibilities and continuity of knowledge across the SOW are critical to the success of the Contract.

Exhibit G.26 – Converged E&E System and AMS Staffing Table Key Staff lists the designated Key Staff positions.

Members of the CBT are also considered Key Staff. Refer to **Section 5.2.8 – Major System Updates, Capacity-Based Team, and Enhancements** for additional details.

5.3.3 Support Staff

In addition to Key Staff, the Contractor must provide Support Staff to form comprehensive teams capable of delivering the SOW defined in this RFP. For the purposes of this RFP, Support Staff includes any staff listed in **Exhibit G.27 – Converged E&E System and AMS Staffing Table Support Staff** who are not designated as Key Staff.

The Contractor must submit resumes for all proposed Support Staff to the Department for review, consideration, and approval prior to onboarding. Either the Department or the Contractor may request the addition of Support Staff based on SOW needs. Bidders may also propose additional Support Staff and must clearly describe proposed roles and responsibilities and how these resources enhance team skill sets related to the SOW.

Bidders are not required to identify Support Staff in their proposals; however, this RFP defines Support Staff positions and minimum qualifications as outlined in **Exhibit G.27 – Converged E&E System and AMS Staffing Table Support Staff**.

5.3.4 Staffing Management

Staffing comprises a variety of roles, many of which require cross-functional collaboration and overlap with other roles. The Bidder must adequately staff their team, inclusive of subcontractors, with experienced, knowledgeable, and collaborative personnel who can meet the responsibilities defined in the SOW defined in this RFP and the criteria outlined in **Exhibit G.26 – Converged E&E System and AMS Staffing Table Key Staff** and **Exhibit G.27 – Converged E&E System and AMS Staffing Table Support Staff**.

The Department has provided a description of expectations for the Staff and Resource Management Plan in **Section 5.2.2.4.F – Staff and Resource Management Plan**. The Contractor must update the Staff and Resource Management Plan included within the PMP on a quarterly basis and within ten (10) business days after new Key and/or Support Staff are approved for onboarding by the Department.

5.3.4.1 Staff Vacancies, Performance, and Replacements

The following sections address staff vacancies, performance, and replacements.

A. Temporary Vacancy

To mitigate risks associated with absences or vacancies of Key and Support Staff, the Contractor must designate backup personnel to provide coverage when staff are unavailable for more than three (3) business days, such as during vacation or brief illness. This includes, at a minimum, providing advance notice to the Department and identifying the designated backup personnel.

B. Performance Remediation

The Department, at its sole discretion, may direct the Contractor to immediately remove, remove with advance notice, or remediate performance issues of any Key or Support Staff member for any reason or no reason.

C. Replacement

The Department reserves the right, in its sole discretion and at any time during the Contract term, to require the Contractor to remove and replace any Key or Support Staff member. The Contractor must provide continuity of assigned role-specific responsibilities for any position requiring replacement.

Upon written notice from the Department, the Contractor must promptly remove the identified individual from performing services under this Contract in accordance with the timeline specified by the Department. A qualified replacement must be made available within thirty (30) calendar days, subject to Department review and approval. The Contractor is responsible for managing the list of Key and Support Staff and facilitating Department approvals for staffing changes in accordance with contractual requirements.

The proposed replacement must possess qualifications, experience, and availability at least equivalent to the staff member being replaced and must be capable of performing assigned duties without material degradation

in service quality or delivery. The Contractor must provide all information reasonably requested by the Department to evaluate the proposed replacement, including, at a minimum, a resume, description of relevant experience, and evidence of required certifications.

The Contractor must not transfer, reassign, or replace a Key Staff resource identified in the Staff and Resource Management Plan without Department written approval, unless the change is due to resignation, death, termination, military recall, or extended illness. Where approval is granted, to the extent possible, personnel must remain assigned until approved replacement staff are in place and performing comparable responsibilities.

If a proposed replacement is not approved, the Contractor must submit an alternative candidate at no additional cost to the Department within forty-five (45) days of the Department's notice of non-approval. This process must continue as required until a replacement is approved.

Staffing requirements are provided in **Attachment E – RFP Requirements Matrix**. Information regarding Key and Support Staff turnover SLAs is provided in **Attachment F – SLAs**.

5.3.4.2 Onsite and Remote Work

The primary location for onsite work may change but is expected to remain within a radius of thirty (30) miles of Albany, NY. Due to the collaborative nature of this work, Key Staff defined in **Section 5.3.2 – Key Staff** must plan to be onsite fifty percent (50%) or more of the time, co-locating with Department staff at the office facility described in **Section 5.4 – Office Facility**. Support Staff may operate remotely on a day-to-day basis, with onsite travel at the discretion of the Department.

As additional requirements become known and funding becomes available, the Department may amend the Contract to include additional work based on labor rates provided in the Contractor's proposal. The hourly rate must be fully loaded and include personnel, overhead, indirect costs, travel, profit, equipment usage, and other associated costs.

All Key and Support Staff supporting the Converged E&E System and AMS must be located within the Contiguous United States (CONUS). Per **Exhibit G.11 – OHIP Offshoring Data Policy**, offshore access or processing is not permitted for any work performed under the Contract.

5.3.5 Payment Restrictions for Unapproved Resources

The Department will not process or approve payment for hours billed by subcontractor resources that have not been reviewed and approved by the Department prior to performing work under this Contract. The Contractor is responsible for verifying that all subcontractor resources are submitted for Department review and approval before assignment to project tasks.

5.4 Office Facility

The Contractor must procure an office facility for Contractor and Department staff within a ten (10)-mile radius of the current Department's current offices at 11 Corporate Woods Boulevard, Albany, NY 12211, for the duration of the Contract term. Proposed locations will be evaluated based on proximity to the current Department offices, with preference given to locations within a one (1)-mile radius. The facility must not be adjacent to railroad tracks or bodies of water. The Department must approve the office facility location.

The office facility must be designed to accommodate Contractor staff and up to one hundred eighty (180) Department staff, including State staff and consultants engaged by the Department. The facility must support effective working relationships, improve operational efficiency, and minimize administrative and program costs. The Department reserves the right to inspect the facility at any time.

The Contractor must provide onsite administrative support at the facility, including reception services, access management, conference room scheduling, general facility information, and coordination with building management. The Contractor must also develop a Facility Management Plan within thirty (30) days of occupying the facility and update the plan annually or upon request by the Department.

The Contractor is responsible for complying with all office facility-related SLAs identified in **Attachment F – SLAs**. Full details regarding office facility requirements are provided in **Attachment E – RFP Requirements Matrix**.

5.5 Reporting

The Contractor must provide the Department with M&O, DDI, financial, and other reports throughout the Contract term to support compliance, performance oversight, and funding accountability. The Contractor must prepare and submit all reports using Department-approved templates and formats that include contractually required content.

The Department reserves the right to modify report data elements, frequency, format, and audiences, as needed, to address evolving Converged E&E System requirements, business priorities, regulatory requests, and stakeholder communication needs.

Furthermore, both the Converged E&E System and AMS must replicate operational and analytical data in near real-time (all schemas, tables, and columns except FTI) to the Department's lakehouse platform to support near real-time operational reporting and near real-time analytics.

Additional details on reporting requirements are provided in the following sections:

- **Section 5.2.2 – Project Management**
- **Section 5.2.3 – Transition-In**
- **Section 5.2.11 – Transition-Out**
- **Section 5.2.5.3 – Solution Development Life Cycle**
- **Section 5.2.7 – System Testing**
- **Section 5.2.5.6 – Deployment**
- **Section 5.2.5.7 – Hypercare**
- **Section 5.2.4 – Maintenance and Operations**
- **Section 5.2.5.4 – Data Conversion and Migration**

5.5.1 Key Performance Indicators and Objectives and Key Results

KPIs and OKRs establish clear expectations and measurable outcomes for the Converged E&E System and the AMS. These metrics support tracking of Contractor performance and alignment with Department strategic objectives. The KPI and OKR framework is intended to support continuous improvement through ongoing evaluation and optimization of the Converged E&E System and the AMS.

5.5.1.1 Key Performance Indicator Framework and Reporting

The Contractor must develop and implement a comprehensive KPI Framework aligned with Department SLAs and programmatic goals to measure Converged E&E System and AMS performance, including user and consumer satisfaction. The Contractor must update the KPI Framework annually or as requested by the Department.

The definition, structure, and reporting methodology for the KPI Framework must be documented, maintained, and governed within program deliverables and associated documents rather than within this Contract. Once

the Department has provided final definitions and descriptions, the Contractor must submit the KPI Framework for Department review and approval, including baseline values and actual performance reporting, within one hundred twenty (120) days of the Contract start date.

The KPI Framework must include, at a minimum, the following elements:

- **KPI Approach** – Approach to KPI development, collection, measurement, and mitigation strategies aligned with the Issue and Risk Management Plan (within the PMP) and the Problem Management Plan, including user and consumer-focused metrics design and implementation (refer to **Section 5.8 – Deliverables** for additional details)
- **KPI Reporting** – KPIs definitions, descriptions, measurement details (e.g., calculation methods, data sources, target values), and reporting timelines, occurring at a minimum on a quarterly basis
- **Software Delivery Performance Indicators** – Inclusion of software delivery performance indicators, including the following Development Operations Research and Assessment (DORA) metrics:
    - Deployment Frequency
    - Lead Time for Changes
    - Change Failure Rate
    - Mean Time to Recovery (MTTR)
- **Continuous Improvement** – Approach for ongoing review and refinement of KPIs and associated reporting mechanisms
- **KPI Evaluation and Adjustment** – Approach for recurring KPI assessment and development of recommendations to the Department for KPI adjustments based on Converged E&E System and AMS performance and Department priorities
- **KPI Mitigation** – Recommendations for mitigation when KPI performance falls below defined thresholds, requiring Department approval prior to implementation

5.5.1.2 Performance Management and Key Performance Indicators

The Contractor's performance must be measured against a set of KPIs established through the process that follows. This framework is intended to support a collaborative partnership focused on achieving strong system performance, continuous improvement, and high user satisfaction.

A. Step 1: Joint Key Performance Indicator Development Process

To establish KPIs, the Contractor must collaborate with the Department in accordance with the following process:

- **KPI Workshop** – Within ninety (90) days following the Contract effective date, the Contractor must conduct a joint KPI workshop with the Department. The purpose of this workshop is to define and mutually agree upon an initial set of KPIs, associated measurement methodologies, and reporting frequencies.
- **Initial KPIs** – The KPI Workshop must result in a formally documented set of initial KPIs. These KPIs must be meaningful, measurable, and directly aligned with the critical success factors of the Converged E&E System and the AMS as well as the Department's approved APD (refer to **Section 5.2.10.1 – Streamlined Modular Certification** for additional details).
- **Formalization** – The Contractor must document the initial KPIs in an approved deliverable and execute them according to the mutually agreed schedule defined in the KPI Framework deliverable. The KPI Framework deliverable must be completed within one hundred twenty (120) days following the Contract effective date.

B. Step 2: Phased Implementation and Evolution

After the initial KPIs have been formalized, the Contractor must implement and refine them in collaboration with the Department to adapt them over time to evolving business needs through the following activities:

- **KPI Development and Implementation** – Following agreement on the initial KPIs, the Contractor must develop and implement methods for monitoring and tracking performance, including procurement of any necessary hardware or software.
- **Initial Performance Period** – The initial KPIs must serve as the basis for performance evaluation, including any associated service level credits or penalties. Refer to **Section 5.9 – Service Level Agreements** for additional details.
- **Quarterly Reporting** – Once KPIs have been established, the Contractor must report performance to the Department, at a minimum, on a quarterly basis for each KPI.
- **Annual Review and Update** – The Department and the Contractor must meet annually, or as otherwise mutually agreed, to review the relevance and effectiveness of existing KPIs. Any updates, additions, or modifications must be mutually agreed upon and documented in the KPI Framework deliverable.

C. Step 3: Shared Ownership of Data Collection

Where measurement of a KPI is not feasible through automated reporting or requires Department input, there a mutually agreed Shared Responsibility Protocol must be established. The Contractor must update the KPI Framework deliverable to document this protocol and define responsibilities of both the Department and the Contractor for data collection, aggregation, and validation to support accurate performance measurement.

5.5.1.3 Objectives and Key Results Framework and Reporting

In addition to the KPI Framework, which monitors ongoing system and service performance, the Contractor must develop and implement an OKR Framework to drive accountability and progress toward strategic and cross-functional goals that extend beyond operational performance tracking.

The Contractor must develop and implement a comprehensive OKR Framework aligned with Department strategic and programmatic priorities. The OKR Framework must be updated on a quarterly basis and reflect goals that support system-wide impact, transformation, and continuous improvement. Operational metrics tracked through the KPI Framework must not be duplicated in OKRs.

The OKR Framework must include, at a minimum, the following elements:

- **OKR Approach** – Approach to OKR development, alignment, and execution, including methods for co-creating Department-prioritized strategic objectives and measurable key results no more than six (6) to twelve (12) months in advance, focused on cross-functional, policy-aligned, or transformational initiatives and not duplicating KPI metrics or monitoring
- **Release-Specific OKRs** – Plan for creating and tracking Release-specific OKRs
- **OKR Summits** – Approach to conducting and coordinating quarterly in-person OKR Summits with participation from designated Department leads and stakeholders, including the following agenda items:
    - Review performance against current OKRs
    - Identify barriers to progress
    - Enhance cross-functional collaboration and coordination
    - Support forward-looking planning and alignment
    - Facilitate development of proposed OKRs for the upcoming quarter
    - Review and update the Product Roadmap to ensure alignment with the current OKR cycle

- **OKR Updates** – Quarterly updates of OKRs, including any new or revised objectives or key results, submitted for Department review and approval
- **OKR Reporting** – Reporting of OKRs, including definitions, intended outcomes, measurement methods (e.g., calculation methods, data sources, timelines), key ownership roles, and success criteria
- **Continuous Improvement** – Approach for recurring OKR assessment and continuous improvement, including analysis of key result performance trends and recommendations for adjustments to the OKR Framework or measurement approach
- **OKR Mitigation** – Mitigation strategies addressing strategic or cross-functional barriers, such as misaligned incentives, inter-vendor dependencies, and Department resource constraints, with Department review and approval required prior to execution

5.5.1.4 Product Roadmap Framework and Reporting

The Product Roadmap outlines the vision, plan, and strategy, for development and Releases of the product over time. It serves as a high-level guide for stakeholders, including development teams, executives, and consumers, providing a clear view of planned functionality and delivery timing.

To support the achievement of OKRs, the Product Roadmap must reflect delivery activities aligned to current OKRs. The Contractor and the Department must review the Product Roadmap as part of the quarterly OKR Summit process. The Product Roadmap must reflect the sequencing, interdependencies, and intended outcomes of technical, operational, and design activities aligned with Department strategic priorities and the OKR Framework.

The Product Roadmap must meet the following criteria:

- Reviewed and updated at least quarterly
- Aligned with active and upcoming OKRs and updated following each OKR Summit
- Reflected in major themes, planned initiatives, or milestone groupings
- Published to a publicly accessible Department website in a Department-approved format
- Reviewed and approved by the Department prior to public posting

Upon Department request, supporting OKRs, KPIs, or other relevant metrics must be included on the site.

The Product Roadmap is intended to provide directional insight into future workstreams over a period of no more than six (6) to twelve (12) months. The Contractor must revise the Product Roadmap iteratively based on programmatic priorities, operational feedback, and discovery, in collaboration with the Department.

The Contractor must deliver an initial Product Roadmap within ninety (90) days of the Contract start date for Department review.

5.5.1.5 Partnership Governance and Continuous Improvement

To govern and continuously improve KPIs and OKRs, the Contractor must collaborate with the Department to establish the following governance structure and processes.

A. Joint Steering Committee

The Department and the Contractor must establish a Joint Steering Committee to provide strategic guidance for and oversight of the partnership. The committee must be comprised of designated executives and key program stakeholders from both the Department and the Contractor. Each party must designate its initial members in writing in a mutually agreed upon deliverable.

The committee must meet no less than quarterly to perform its duties, including, at a minimum, reviewing service performance and overseeing the Continuous Improvement Program defined in the section that follows.

B. Continuous Improvement Program

The Department and Contractor must establish a formal, collaborative Continuous Improvement Program to proactively identify and execute initiatives that enhance services supported by the Converged E&E System and the AMS, system performance, and value delivered to consumers.

As a standing agenda item during the quarterly Join Steering Committee meetings, the committee must review the following:

- Historical performance data, service metrics, and user feedback
- Potential improvement initiatives for the upcoming quarter, including priorities in high-impact focus areas such as feature enhancements, workflow improvements, and technical optimization

For each mutually agreed improvement priority, the Joint Steering Committee must develop a brief Improvement Action Plan. This plan must include the following:

- Description of the priority and the desired outcome
- Objective metrics to measure progress and impact

C. Resource and Investment Framework

The Department and the Contractor must establish a Resource and Investment Framework to determine appropriate resourcing and funding for initiatives identified through the Continuous Improvement Program.

Each initiative in an Improvement Action Plan must be categorized by the Joint Steering Committee as one of the following:

- **Operational Enhancement** – Activities such as system configuration changes, data reporting adjustments, or minor modifications that do not require significant development resources
- **Strategic Investment** – Projects or initiatives that exceed the scope of the Contract, including development of new features or modules, major architectural modifications, or integration with new third-party systems

Approved Strategic Investments or Operational Enhancements must be handled through the Enhancements process or through a PCR, as defined in the PCCP. Refer to **Section 5.2.8 – Major System Updates, Capacity-Based Team, and Enhancements** for additional details on enhancements and **Section 5.2.2 – Project Management** for PCCP information.

The definition and detailed description of this framework, along with the reporting methodology, must be documented, maintained, and governed within the deliverables defined in this RFP and associated documents, rather than within the Contract.

Refer to **Section 5.8 – Deliverables** for additional details on deliverables supporting KPI and OKR implementation, governance, and reporting.

5.6 Information Technology

The Contractor must provide Contractor staff, including Key Staff and Support Staff, with laptops, IT equipment, and other components necessary for the team to perform the responsibilities and meet the requirements of this RFP. Laptops must have sufficient processor speed, memory, and storage capacity to

support the current version of Microsoft's operating system and Microsoft Office Suite, as well as any software required to fulfill Contract requirements.

The Department may require all laptops to be imaged to enable access to Departmental assets. Alternatively, access may be provided through a Virtual Desktop Infrastructure (VDI) connection. The Department will determine the appropriate access method.

If required and at the request of the Department, the Contractor may be responsible for procuring workstation equipment and software, as described in **Section 5.6.1 – Workstation Equipment** and **Section 5.6.3 – Software Licensing and Procurement**.

5.6.1 Workstation Equipment

At the request of the Department, the Contractor may be required to procure workstation equipment.

The Contract includes procurement of equipment for up to two hundred fifty (250) workstations for Department staff from third-party vendors. Each workstation must include, at a minimum, a laptop, two (2) external monitors, a docking station, a wireless keyboard, and a mouse. The Department will provide specifications for all laptops to be procured.

When acting as a procurement agent, the Department will reimburse the Contractor for the cost of equipment. The Contractor may apply an administrative fee of up to a five percent (5%) to third-party vendor charges for undertaking such procurement on behalf of the Department. The Contractor must enter its administrative fee into **Attachment B – Cost Proposal Form**. The fee will be applied per invoice for approved purchases made on behalf of the Department.

5.6.2 Printing, Mailing, and Language Translation Services

The Contractor must provide print and mail services to support business functions associated with the Converged E&E System and the AMS. These services must support generation, processing, and distribution of all notices and communications to consumers. Print and mail services must operate as a coordinated, distributed process involving the Converged E&E System and the AMS, the Contractor, and other partners to support timely and accurate delivery.

The scope of services includes the following:

- Generating notices in multiple formats including, at a minimum, large print, audio compact disc (CD), data CD, and braille
- Printing and mailing communications
- Tracking mail pieces
- Monitoring postage expenditures (separate from print and mail expenditures)
- Managing returned mail and electronic notification failures

If notices are sent in error, contain incorrect information, or are in the incorrect format, the Contractor must reimburse the Department for associated printing and mailing costs.

The Contractor must propose an approach for procuring print and mail services as part of this Contract; however, the Department may elect to procure these services directly. The Contractor's proposed solution must remain decoupled from Contractor-specific systems and must integrate with Department-directed print and mail services.

5.6.2.1 Print Volumes

Currently, for the NYSOH System, postscript files are delivered to a business services outsourcing center on a daily basis. Estimated page count volumes associated with NYSOH System notices are listed in **Table 21** for the period beginning in December 2026 through June 2031.

Table 21 – Estimated NYSOH System Print Volumes

Month	2026-2027	2027-2028	2028-2029	2029-2030	2030-2031	Total
December	12,964,673	13,816,693	14,691,936	15,626,712	16,642,448	73,742,462
January	12,230,889	13,030,677	13,852,462	14,730,141	15,687,600	69,531,769
February	11,082,498	11,800,709	12,538,836	13,327,163	14,193,429	62,942,635
March	13,769,489	14,677,914	15,611,736	16,609,071	17,688,661	78,356,871
April	11,204,473	11,930,978	12,677,967	13,475,760	14,351,684	63,640,862
May	11,266,006	11,996,696	12,748,161	13,550,723	14,431,520	63,993,106
June	13,403,801	14,285,688	15,246,945	16,213,264	17,267,126	76,416,824
July	11,390,190	12,129,326	12,889,809	13,702,004	N/A	50,111,329
August	11,452,841	12,196,243	12,961,272	13,778,333	N/A	50,388,689
September	13,629,343	14,526,571	15,450,096	16,436,441	N/A	60,042,451
October	14,130,658	15,063,145	16,023,166	17,048,482	N/A	62,265,451
November	11,643,056	12,399,396	13,178,239	14,010,064	N/A	51,230,755
Total	**148,167,917**	**157,854,036**	**167,870,625**	**178,508,158**	**110,262,468**	**762,663,204**

The current MECM System and AMS utilize a third-party print vendor for printing and mailing correspondence notices. Estimates for page count volumes associated with MECM System notices are listed in **Table 22** for the period beginning in October 2025 through June 2029. By June 2029, E&E for all Complex Populations will be supported by the MECM System and therefore the print volumes are indicative of the volumes beyond that point.

Table 22 – Estimated MECM System Print Volumes

Month	2025-2026	2026-2027	2027-2028	2028-2029	Total
October	477,853	1,784,475	3,568,950	10,526,580	16,357,858
November	477,853	1,784,475	3,568,950	10,526,580	16,357,858
December	477,853	1,784,475	7,634,814	10,526,580	20,423,722
January	477,853	1,784,475	7,634,814	10,526,580	20,423,722
February	585,895	3,568,950	7,634,814	10,526,580	22,316,239
March	585,895	3,568,950	7,634,814	10,526,580	22,316,239
April	585,895	3,568,950	7,634,814	10,526,580	22,316,239
May	585,895	3,568,950	10,526,580	10,526,580	25,208,005
June	585,895	3,568,950	10,526,580	10,526,580	25,208,005
July	585,895	3,568,950	10,526,580	N/A	14,681,425
August	585,895	3,568,950	10,526,580	N/A	14,681,425
September	552,295	3,568,950	10,526,580	N/A	14,647,825
Total	**6,564,972**	**35,689,500**	**97,944,870**	**94,739,220**	**234,938,562**

Conservative estimates for page count volumes associated with AMS notices are listed in **Table 23** for the period beginning in October 2025 through June 2029.

Table 23 – Estimated AMS Print Volumes

Month	2025-2026	2026-2027	2027-2028	2028-2029	Total
October	18,360	321,998	338,098	483,480	1,161,935
November	18,360	321,998	338,098	483,480	1,161,935
December	18,360	321,998	338,098	483,480	1,161,935
January	18,360	338,098	439,527	483,480	1,279,464
February	55,079	338,098	439,527	483,480	1,316,183
March	60,586	338,098	439,527	483,480	1,321,691
April	66,645	338,098	439,527	483,480	1,327,749
May	73,310	338,098	439,527	483,480	1,334,414
June	80,641	338,098	483,480	483,480	1,385,698
July	88,705	338,098	483,480	N/A	910,282
August	97,575	338,098	483,480	N/A	919,152
September	107,333	338,098	483,480	N/A	928,910
Total	**703,311**	**4,008,873**	**5,145,847**	**4,351,317**	**14,209,347**

It is expected that the Contractor's print and mail services will replace the print and mail centers that currently support the NYSOH System, the MECM System, and the AMS. As a result, the Contractor must plan to support print volumes for all programs in scope for the Converged E&E System. The Department reserves the right to independently procure print and mail services. If the Department independently procures a print and mail vendor, the Contractor must integrate the Converged E&E System with the Department's selected print and mail vendor.

5.6.3 Software Licensing and Procurement

The Contractor may also be required to provide software procurement services if the Department requires licensed software products. These services include procurement of third-party software products or other third-party services or products by the Contractor on behalf of the Department.

The Contractor and the Department must mutually agree on the list of products and the target time frame for procurement (and renewal, where applicable) through development of a software Bill of Materials (BOM) and the Procurement and Licensing Assessment Report (refer to **Section 5.8 – Deliverables**).

The Contractor must register licenses for any software procured on behalf of the Department under "State of New York Department of Health – Office of Health Insurance Programs." The Department retains full ownership and control of all software, including, at a minimum, software support and rights to use and distribute the software. The Contractor must provide documentation confirming that each license is issued in the Department's name upon delivery.

When acting as a procurement agent, the Department will reimburse the Contractor for the cost of third-party software products. The Contractor may apply an administrative fee of up to five percent (5%) above third-party vendor charges for undertaking such procurement on behalf of the Department. The fee will be applied per invoice for approved purchases made on behalf of the Department.

Department budget allocations for software licensing procurement are provided in **Attachment B – Cost Proposal Form**. IT requirements are provided in **Attachment E – RFP Requirements Matrix**.

5.6.3.1 Pricing Requirements

Software must be supplied at prices equal to or less than the lower of the U.S. General Services Administration (GSA) or the NYS OGS, or their successor agencies, to the extent such pricing is available to the Contractor through standard commercial agreements with the same vendors. At no point may the pricing exceed that available through OGS.

Where practicable, and when products or services are obtained from sources external to the Contractor, the Contractor must use best efforts to obtain three (3) quotations.

While the Department may procure software through available government procurement contract vehicles, in certain circumstances it may be more advantageous to procure through the Contractor to support Converged E&E System implementation timelines. In such cases, where pricing exceeds OGS or GSA pricing, the Contractor must submit documentation to the Department for approval. This documentation must include, at a minimum, the following:

- Vendor quotes and comparison to OGS and GSA pricing
- Documentation demonstrating timely acquisition capability
- Copies of purchase agreements

5.6.3.2 License Ownership and Management

All licenses must be procured in the name of the Department. The Department retains ownership and control of all software licenses to support operational continuity and independence from Contractor relationships.

The Contractor must coordinate all licensing activities through the Department's procurement processes and comply with the terms and conditions of the OGS IT Umbrella Manufacturer or Distributor contract.

5.6.3.3 Contractor Responsibilities for Software Licensing and Procurement

The Contractor must perform the following responsibilities:

- Coordinate with Department procurement teams for all licensing needs
- Develop a comprehensive BOM for Department review and approval prior to purchasing any hardware or software
- Leverage the asset management capabilities of the Department's ITSM tool (refer to the OHIP Infrastructure & Operations Domain Document, Preferred Operational Tools Standard) to track software licenses, including license details, usage metrics, renewal dates, and compliance status
- Provide quarterly usage reports and optimization recommendations
- Forecast future licensing requirements based on system growth and evolving demands
- Ensure compliance with licensing terms and vendor agreements
- Present detailed proposals and cost estimates for new licensing requirements
- Maintain transparent reporting on license consumption and renewal timelines

5.6.3.4 Technical Component Substitutions or Changes

The Department may request substitutions or changes to proposed or existing Converged E&E System technical components at various points during the project to better meet Department needs, objectives, and requirements.

5.6.3.5 Proposed Changes During Contract Negotiation Phase

During Contract negotiations, the Department may request changes to proposed Converged E&E System technical components. The Contractor must collaborate with the Department to finalize the list of technical components prior to Contract signing.

Changes to Converged E&E System technical components during the Contract negotiation phase may result in enhancement DDI costs. Enhancement costs refer to any DDI cost exceeding the amount submitted in the Contractor's Cost Proposal for the affected technical component. The Contractor must submit written justification to the Department for any additional cost, including staff hours, staff rates (as defined in the Contractor's Cost Proposal), and impacts to the project timeline.

Enhancement costs associated with changes to proposed Converged E&E System technical components during the Contract negotiation phase will not be added to the overall cost of the Contract, rather they will be funded through enhancement funds.

Note: No additional cost will be allowed for M&O, as the revised technical component must still support the Converged E&E System RFP scope and requirements.

5.6.3.6 Proposed Changes During Project Implementation

The Department may request changes to Converged E&E System technical components during project implementation. The Contractor must accommodate such changes within the framework of the enhancements budget established in the Contractor's Cost Proposal. A formal PCR process must be used to document, approve, and implement requested changes during the implementation phase.

The Contractor must provide estimates, timelines, and potential impacts for any requested changes, subject to Department approval. Any technical component that has not been fully implemented at the time a change is requested may result in additional, cost as defined in this section.

Note: No additional cost will be allowed for M&O, as the new technical component must still support the Converged E&E System RFP scope and requirements.

5.6.3.7 License Procurement for Changed Components

The Department will determine whether the Contractor will procure licenses for substituted or changed Converged E&E System technical components.

5.6.4 Additional Technology Terms

The Contractor must use applicable templates and comply with the terms and conditions referenced in the following OGS contracts, including any successor OGS contract terms and conditions, when working with resellers and software providers on licensing:

- Manufacturer Terms and Conditions (OGS Award No. 22802 - Base Contract and Appendices), including Appendices A, B, F, and J, in addition to G4.4
- Distributor Terms and Conditions (OGS Award No. 22876 - General Contract Documents and Appendices), including Appendices A, B, D, and E

5.7 Security and Privacy

The Department requires that the Contractor and their subcontractors providing IT and application services to the Department to comply with the security and privacy policies and controls outlined in this RFP, as well as all

applicable NYS and federal laws, regulations, policies, and standards governing IT systems that transfer, process, or store Department data. The Contractor and their subcontractors must demonstrate compliance with OHIP security and privacy requirements by providing documentation and artifacts confirming that applicable standards and controls are implemented correctly, operating as intended, and producing the desired outcomes.

To support this requirement, OHIP DOS has developed OHIP MES Standards specific to Security and Privacy, with which the Contractor must demonstrate compliance. These standards also include requirements related to the use of API and AI technologies. Additional information is provided in the following documents:

- OHIP Security, Privacy, and Compliance Domain Document, Security and Privacy Compliance Standard
- OHIP API Secure Development Baseline Standard
- OHIP AI Security and Privacy Baseline Standard

The Contractor must also comply with the Department's OHIP Offshoring Data Policy. Additional information is provided in the following documents:

- OHIP Security, Privacy, and Compliance Domain Document, Security and Privacy Compliance Standard
- **Exhibit G.11 – OHIP Offshoring Data Policy**

Detailed security and privacy requirements are provided in **Attachment E – RFP Requirements Matrix**.

5.7.1 Security Deliverables

The Contractor must assume ownership of security activities and associated security documents and deliverables, as defined in the OHIP Security and Privacy Standards. Refer to **Table 43 – Security and Privacy Deliverables** in **Section 5.8 – Deliverables** for information related to required deliverables, including timing and frequency.

The Contractor must establish and operate a twenty-four (24) hours per day, seven (7) days per week (24x7), three hundred sixty-five (365) days per year (24x7x365) Security Operations Center (SOC) and a Security Information and Event Management (SIEM) solution.

The Contractor must perform a Well-Architected Review of the Converged E&E System's cloud security architecture on a schedule agreed upon with the Department. The review shall apply the security pillar of the applicable cloud provider's well-architected framework, the AWS Well-Architected Framework for AWS-hosted components and the Google Cloud Well-Architected Framework for Google Cloud-hosted components.

5.8 Deliverables

Deliverables listed in the sections that follow must be produced by the Contractor for the Department's review and approval. These deliverables align with the requirements of this RFP and the payment methodology and reflect the Department's expectations across each scope area (refer to **Section 5.10 – Payment** for additional details). As noted previously, the Contractor can expect the Department to provide certain deliverables during the Transition-In period.

The Contractor must collaborate with the Department to further define each deliverable through the DEDs. For details on deliverable content, the Contractor must refer to **Section 5.0 – Scope of Work**, **Attachment E – RFP Requirements Matrix**, or any other applicable RFP documents.

Deliverables for future Enhancements are not specified in this section. These deliverables must be defined within the Task Orders and DEDs in accordance with the Department-approved SDLC.

This section includes tables that identify the deliverables and artifacts associated with this RFP:

- **Deliverables** – Contractually binding work products submitted to the Department for formal review and approval
- **Artifacts** – Supporting work products, such as diagrams, models, and lessons learned registers, that the Contractor must create, maintain, and retain, at the Department's discretion, and provide upon request or as directed to support oversight, audits, and program needs

The Contractor must produce and submit all deliverables identified in the tables in the format, structure, and cadence specified by the Department or applicable Contract. Each deliverable must meet all content requirements and acceptance criteria and is subject to formal review and approval.

The Department may modify required deliverables and artifacts at any time to address evolving program needs. Upon notification, the Contractor must comply with all modifications and implement them promptly. The Department will document and communicate such changes, and the Contractor is responsible for timely adherence.

5.8.1 Deliverable Expectation Document

The Contractor must develop a DED to define the scope, content, and quality standards for each deliverable or project phase. The DED establishes a consistent approach for planning, developing, reviewing, and approving deliverables while maintaining alignment with program objectives and stakeholder expectations.

Each DED must include, at a minimum, the following:

- **Document Structure and Format** – Define the required layout, table of contents, and file format to support consistency and readability
- **Development Methodology** – Describe the approach, processes, and tools used to create, review, and finalize the deliverable
- **Deliverable Requirements** – Detail the functional, technical, or business requirements the deliverable must satisfy
- **Acceptance Criteria** – Define the objective, measurable conditions, and quality standards required for approval and acceptance
- **Delivery Schedule** – Establish the timeline, including key dates, milestones, and review periods for drafting, submission, and approval
- **Roles and Resources** – Identify the personnel, SMEs, and resources required to develop, review, and approve the deliverable
- **Assumptions, Constraints, and Dependencies** – Identify assumptions, constraints, or dependencies that may affect the deliverable or the delivery process

The Contractor must develop and submit deliverables in accordance with the approved DEDs and established schedule for Department review and approval.

5.8.2 Deliverable Acceptance Process

The Contractor must submit all Contract correspondence and deliverables using the Department's standard suite of tools in an approved format (e.g., Microsoft Word, Excel, Visio). Each submission must include a signed transmittal document, either electronically or as otherwise agreed. Deliverables must be consistent in format and presentation and must address all requirements defined in the Contract, DEDs, and related agreements.

The Contractor must develop deliverables collaboratively, incorporate Department feedback, and conduct walkthroughs with the Department as needed prior to formal submission.

Upon initial and final deliverable submission, the Contractor must certify that an internal quality review was conducted, including identification of any corrections and/or deficiencies, prior to commencing the Department's review period. The Contractor must clearly address all requested revisions and comments in deliverable resubmissions. Changes to previously accepted deliverables will not be allowed without Department approval. Additionally, the Contractor must provide procedures for tracking submission, coordination, review, evaluation, revision, and approval of all deliverables.

5.8.3 Formal Transmittal Process

This process must be used to obtain approval of deliverables and other contracted requirements and must be included in the Deliverable Management Plan. The Department will provide additional detail to the onboarded Contractor. The process includes the following:

- Use of transmittals for all official correspondence between the Contractor and Department
- Inclusion of deliverables, invoice reviews, Contractor requests, staffing changes, Task Order reviews and approvals, CNs, procurement items, and reports, serving as formal records of requests, decisions, approvals, and rejections
- Submission of emails to a shared Department mailbox provided by the Department
- Inclusion of authorized recipients on distribution lists created by ITS and maintained by the Department for both Department and Contractor staff

5.8.4 Project Management Deliverables

Table 24 identifies PM deliverables that the Contractor must produce for Department review and approval.

Table 24 – PM Deliverables

Deliverable Name	Deliverable Description	Timing/Frequency
Engagement Kick-Off Meeting/ Presentation	The Contractor must conduct an Engagement Kick-Off Meeting. The Engagement Kick-Off Meeting marks the official commencement of the engagement. The meeting must involve all key stakeholders to establish a mutual understanding of engagement objectives, timelines, responsibilities, and deliverables. This is typically conducted as a presentation to relevant stakeholders.	One (1) time within two (2) weeks of Department onboarding of Key and Support Staff deemed necessary for the Engagement Kick-Off
Project Roadmap	The Project Roadmap outlines a detailed plan of project milestones and timelines, specifying expected work and goals for planned Releases and supporting overall PM and execution. The Project Roadmap must include the approach and timeline for conducting the SOW related to DDI of the Converged E&E System. The Project Roadmap is a living document that must be updated iteratively as the selected SDLC methodology progresses. Quarterly submissions must include, at a minimum, detailed content for the upcoming six (6) months. Activities beyond six (6) months must be included at a high level to cover the full implementation duration.	Initial submission within forty-five (45) days of the Contract start date; updated quarterly or as requested by the Department, whichever is more frequent
Converged E&E System and AMS PMP	The Department will furnish the Contractor with the current PMP for the MECM System and the AMS, which includes a comprehensive set of sub-management plans. The Contractor must maintain and update the PMP based on the SOW and requirements in this RFP. The PMP must describe the methodology, processes, and procedures for managing the project and activities for each project phase and define how the project is planned, executed, monitored,	Initial submission within ninety (90) days of the Contract start date; updated quarterly or as requested by the Department, whichever is more frequent

Deliverable Name	Deliverable Description	Timing/Frequency
	controlled, and closed. The PMP must define processes for managing project scope, schedule, decisions, and action items and will be used throughout the Contract term. The Contractor must maintain, update, and execute the PMP and sub-management plans and corresponding schedules through the end of the Contract term. Changes to the PMP must be submitted to the Department for review and approval. The PMP must include, at a minimum, the following sub-management plans: • Governance Structure • Scope Management Plan • SDLC Methodology • Schedule Management Plan • Stakeholder Management Plan • Communication Management Plan • Budget Management Plan • PCCP • Quality Management Plan • Staff and Resource Management Plan • Risk and Issue Management Plan • Procurement and Licensing Management Plan • Document Management Plan For detailed descriptions of sub-management plan content, refer to the OHIP Program & PM Domain Document, PM Standard.	
IMS	The Contractor must develop an IMS. The IMS provides a structure for managing project activities, deliverables, resources, and timelines. The IMS must updated weekly and reported on, as needed, during project Status Report meetings. The IMS must include, at a minimum, the following: • **Work Breakdown and Task Definitions** – Definition of project activities, tasks, and subtasks with clear, meaningful names and detailed descriptions to accurately represent the full SOW • **Milestones and Approvals** – Identification of critical milestones and inclusion of specific, trackable tasks or subtasks for review and formal approval of each deliverable • **Schedule Timelines and Durations** – Establishment of start and end dates and realistic durations for all activities to support measurable progress toward project completion • **Task Dependencies** – Description of relationships, constraints, and dependencies between tasks to support accurate sequencing and critical path management • **Resource Allocation** – Identification and assignment of personnel and named resources to tasks to support balanced workloads and timely execution Quarterly submissions of the IMS must include, at a minimum, detailed activities, tasks, and subtasks for the upcoming six (6) months. Activities beyond six (6) months must be included at a high level to cover the full implementation duration.	Initial submission within thirty (30) days of the Contract start date; updated weekly and quarterly in alignment with Weekly Status Reports

Deliverable Name	Deliverable Description	Timing/Frequency
Contract Management Plan	The Contractor must develop a Contract Management Plan that outlines processes, procedures, roles, and responsibilities for managing the Contract throughout the post-award life cycle. The Contract Management Plan must include, at a minimum, the following: • **Scope** – Summary of the Contract scope • **Roles and Responsibilities** – Identification of individuals responsible for Contract management activities • **Performance Monitoring** – Procedures for monitoring Contractor performance against Contract terms, including KPIs and milestones • **Issue and Dispute Resolution** – Strategies for identifying, addressing, and resolving contractual issues or disputes, including escalation paths and negotiation approaches • **Contract Changes** – Process for managing changes, including amendments, change orders, and adjustments • **Compliance and Reporting** – Methods for maintaining compliance with contractual and legal requirements and reporting status to stakeholders • **Risk Management** – Identification and management of financial, legal, and operational risks, including mitigation strategies • **Assumptions, Constraints, and Dependencies** – Description of factors that may impact Contract management	Initial submission within sixty (60) days of the Contract start date; updated quarterly or as requested by the Department, whichever is more frequent
Deliverable Management Plan	The Contractor must create a Deliverable Management Plan that outlines processes and procedures for developing deliverables through review and approval. Processes must include identification and communication of deliverable scope, scope tasks, timelines, tracking, and methods to confirm deliverables meet acceptance criteria. The Deliverable Management Plan must include, at a minimum, the following: • **Deliverable Acceptance Process** – Description of the approach for submitting Contract deliverables in accordance with Department procedures, including tracking submission, coordination, review, evaluation, and approval • **Schedule and Milestones** – Timeline for creation and delivery of each deliverable, including key milestones • **Quality Standards** – Quality criteria and standards deliverables must meet prior to acceptance • **Review and Approval Process** – Procedures for review and approval, including stakeholder involvement and documentation requirements • **Change Control** – Process for managing changes, including documentation, evaluation, and approval • **Tracking and Reporting** – Methods for tracking deliverable status and reporting progress • **Issue Resolution** – Procedures for identifying and resolving deliverable-related issues, including escalation paths • **Assumptions, Constraints, and Dependencies** – Identification of factors that may impact deliverable management	Initial submission within thirty (30) days of the Contract start date; updated quarterly or as requested by the Department, whichever is more frequent

Deliverable Name	Deliverable Description	Timing/Frequency
Weekly Status Reports	The Contractor must submit two (2) Weekly Status Reports: one (1) focused on DDI efforts and one (1) focused on M&O efforts. Weekly Status Reports must include, at a minimum, the following: • Reporting period date range • Status of the IMS, phases, milestones, and workstreams • Status of deliverables and SLAs, including completion dates • Planned versus actual DDI progress • Schedule slippage, variances, and recommended resolutions • Tasks and activities missed and behind schedule • Key accomplishments during the reporting period • KPIs, metrics, and performance management information, including updates to improve data quality and usefulness for each pending Release • Risks and issues with mitigation plans, including process for reporting issues with immediate or significant impact to the Converged E&E System and the AMS within one (1) business day • Staffing updates, including current staffing status, locations, allocation percentages for supplemental staff, and recruitment status for vacant Key and Support Staff positions • Summary of defects and incidents, including any open items with due dates, next steps, and items closed during the reporting period • Summary of open PCRs • Goals and planned activities for the next reporting period Refer to the Operations Report for additional details.	Initial submissions due at the end of month one (1) from the Contract Start Date; submitted weekly thereafter or as requested by the Department
Monthly Status Reports	The Contractor must submit two (2) monthly status reports: one (1) focused on DDI efforts and one (1) focused on M&O efforts. Monthly Status Reports must be executive-level summaries reflecting month-to-month project activities and are reviewed by Department leadership, CMS, and other stakeholders. Monthly Status Reports must include, at a minimum, the following: • Overall status of DDI periods and milestones (DDI Status Report) • Indicators relevant to the Converged E&E System and AMS M&O (M&O Status Report) • Achievements • Schedule updates • Key risks and issues • Action items • Key decisions	Initial submission within thirty (30) days of the Contract start date; submitted monthly thereafter
Contract Closeout Plan	The Contractor must develop a Contract Closeout Plan that describes Contract closeout activities. The Contract Closeout Plan must include, at a minimum, the following: • **Verification of Contract Fulfillment** – Approach to confirm all contractual requirements have been met and accepted by the Department • **Documentation Closure and Archiving** – Process for organizing project documents (e.g., work products,	One (1) time, twelve (12) months before the last day of the Contract term or upon request of the Department, whichever occurs first

Deliverable Name	Deliverable Description	Timing/Frequency
	deliverables, decision-correspondence) and confirming they are complete and stored in the Department's document management tool • **Formal Termination Procedures** – Process for executing official Contract closure, including the following: o Removal of system access and termination of accounts o Release of project resources o Return or appropriate disposal of assets, equipment, or materials, as required • **Compliance and Regulatory Validation** – Confirmation that all compliance and regulatory requirements have been fulfilled, including required approvals and documentation demonstrating adherence to legal and contractual obligations • **Lessons Learned Documentation** – Process for documenting insights from the Contract life cycle, including successes, challenges, and opportunities for improvement • **Contract Closure** – Procedures for formally closing the Contract once all obligations have been met • **Assumptions, Constraints, and Dependencies** – Identification of factors that may impact Contract Closeout	
Contract Closeout Documentation	The Contractor must develop Contract Closeout Documentation. This documentation is a comprehensive collection of materials that confirms completion of Contract obligations and supports transition at the end of the contractual relationship. The Contract Closeout Documentation must include, at a minimum, the following: • **Summary of Work Conducted** – Overview of work performed under the Contract, demonstrating fulfillment of deliverables and SLAs • **Deficiency and Action Item Lists** – Compilation of deficiencies and outstanding action items addressed during Contract Closeout • **Verification of Final Payments** – Confirmation that all final payments have been completed • **Acknowledgement of Completed Legal Obligations** – Confirmation that no further legal obligations remain between parties upon Contract completion • **Archiving and Documentation Process** – Description of how documentation, deliverables, and artifacts are archived in alignment with Department policies • **Contract Closeout Checklist** – Checklist used during final Contract review to confirm completion of required closeout steps	One (1) time, at the end of the Contract term

5.8.5 Transition-In Deliverables

Table 25 identifies Transition-In deliverables that the Contractor must produce for Department review and approval.

Table 25 – Transition-In Deliverables

Deliverable Name	Deliverable Description	Timing/Frequency
Transition-In Knowledge Transfer Plan	The Contractor must develop a Transition-In Knowledge Transfer Plan that outlines strategies and activities to support effective knowledge transfer during the Transition-In period. The Transition-In Knowledge Transfer Plan must include, at a minimum, the following: • **Knowledge Transfer Overview** – Summary of knowledge areas covered, including SA, PM, M&O, and DDI • **Training Activities** – Description of training sessions and materials provided to equip Contractor staff with system knowledge and required skills • **Migration of Knowledge** – Processes for transferring critical information and expertise from existing teams to Contractor staff • **Transfer of Duties** – Approach and timeline for transferring operational responsibilities across SA, PM, M&O, and DDI domains • **Skills Development** – Approaches for ongoing skills development to enable Contractor staff to operate and manage systems effectively • **Transition Management** – Strategies to facilitate a smooth transition and minimize disruption to operations • **Action Items and Recommendations** – Identification of actions necessary to support successful knowledge transfer and transition • **Contact Information** – Identification of key contacts for questions or issues related to the plan • **Assumptions, Constraints, and Dependencies** – Identification of factors that may impact knowledge transfer activities	One (1) time, within thirty (30) days after the start of the Contract
TIMP	The Contractor must develop a TIMP that describes management of the transition into new operations. The TIMP must include, at a minimum, the following: • **Transition Approach** – Summary of the approach and activities to support a smooth transition • **Planned Transition Activities** – Description of activities and tasks required to complete the transition including details on environment provisioning and management while both the Contractor and the Incumbent Contractor are supporting DDI simultaneously • **Roles and Responsibilities** – Identification of roles and responsibilities of the Department and the Incumbent Contractor to support coordination • **Contractor Collaboration** – Strategies for collaboration with the Incumbent Contractor to support knowledge transfer and operational continuity	One (1) time, at the beginning of the Transition-In period

Deliverable Name	Deliverable Description	Timing/Frequency
	• **Risk Management** – Identification of potential risks and corresponding mitigation strategies • **Transition Training and Knowledge Transfer** – Activities supporting training and transfer of knowledge to incoming teams • **Readiness Reviews** – Process for conducting readiness reviews and obtaining approval for Transition Cutover • **Assumptions, Constraints, and Dependencies** – Identification of factors that may impact Transition-In management	
Transition-In Schedule	The Contractor must develop a Transition-In Schedule, a comprehensive tool used to track progress of Contractor activities during the Transition-In period and confirm tasks remain on track from initiation through Transition Cutover. The Transition-In Schedule must include, at a minimum, the following: • Service migrations • Knowledge transfer • Training • Data architecture transfer, including data models, integration, storage, and governance • Documentation maintenance • Progress reporting • System testing and validation • QA • Transition Cutover • System assumption • Communication The schedule must support resource allocation and planning and must be incorporated into the IMS. This tool enables the Contractor to understand the overall time frame required to complete Transition-In and Transition Cutover activities.	Initial submission at the beginning of the Transition-In period; updated weekly thereafter
Transition-In Weekly Status Reports	The Contractor must develop Transition-In Weekly Status Reports that provide updates on progress during the Transition-In period. Reports must include, at a minimum, the following: • **Transition-In Schedule Review** – Summary of Transition-In Schedule status, including alignment with planned activities and timelines • **Transition-In Activity Status** – Description of activities conducted during the Transition-In period, including accomplishments and ongoing work • **Risk and Issue Management** – Summary of risks and issues, including description, impact, mitigation actions, and prevention steps • **Overall Progress** – Assessment of progress against planned objectives, including identification of variances • **Meeting Agenda Development** – Preparation of meeting agendas to support focused discussions • **Meeting Notes Distribution** – Documentation and distribution of meeting notes to maintain stakeholder awareness	Weekly, beginning the week following Engagement Kick-Off

Deliverable Name	Deliverable Description	Timing/Frequency
Transition-In SA Assessment Report	The Contractor must develop a Transition-In SA Assessment Report that summarizes findings and recommendations for software and infrastructure improvements necessary to meet contractual requirements. The Transition-In SA Assessment Report must include, at a minimum, the following: • **Findings Overview** – Summary of the Contractor's assessment of the current SA, highlighting key areas for improvement • **Recommendations for Improvements** – Proposed software and infrastructure enhancements to satisfy RFP requirements, including SLA compliance • **Justifications for Recommendations** – Rationale for each recommendation, describing necessity and expected benefits • **Review Sessions** – Facilitation of walkthrough sessions with staff, including the Enterprise Architecture team and Architecture Review Board (ARB), to discuss findings and recommendations	One (1) time, prior to Transition-In Readiness Reviews; must be submitted in advance of Transition-In Readiness Reviews for Department review
SA Evolution Roadmap	The Contractor must develop an SA Evolution Roadmap to guide implementation of architecture improvements and maintain alignment with budget constraints and project objectives. The roadmap must provide the following: • Summary of planned architecture improvements with the approved budget • High-level implementation timeline • Approach for executing each improvement The SA Evolution Roadmap must also define stakeholder roles and responsibilities and include analysis of cost impacts for each improvement.	Initial submission within sixty (60) days of Department approval of the Transition-In SA Assessment Report; updated quarterly thereafter
Transition-In PM Plan	The Contractor must develop a Transition-In PM Plan that outlines the strategy for transitioning all PM operations, services, and functions. The Transition-In PM Plan must include, at a minimum, the following: • **Approach Overview** – Summary of the strategy for transitioning PM operations • **Transition Tasks** – Description of tasks required to complete the transition and ensure all PM functions are addressed • **Roles and Responsibilities** – Definition of roles and responsibilities to support accountability and coordination during the transition • **Validation Measurements** – Definitions of measures used to confirm transition success and effectiveness • **Testing Approach** – Description of testing activities used to verify transitioned operations meet PM standards and requirements • **Timeline** – Schedule outlining completion of transition tasks	One (1) time, submitted within forty-five (45) days of the Contract start date
Transition-In DDI Plan	The Contractor must develop a Transition-In DDI Plan that outlines the strategy for transitioning all DDI operations, services, and functions. The Transition-In DDI Plan must include, at a minimum, the following:	One (1) time, submitted within forty-five (45) days of the Contract start date

Deliverable Name	Deliverable Description	Timing/Frequency
	• **Approach Overview** – Summary of the strategy for transitioning DDI operations • **Transition Tasks** – Description of tasks required to complete the transition and ensure all DDI activities are addressed • **Roles and Responsibilities** – Definition of roles and responsibilities to support accountability and coordination during the transition • **Validation Measurements** – Definitions of measures used to confirm that transitioned operations meet established standards and project requirements • **Testing Approach** – Description of testing activities and performance baselines used to verify that DDI operations function correctly post-transition • **Timeline** – Schedule outlining completion of transition tasks • **Assumptions, Constraints, and Dependencies** – Identification of factors that may impact Transition-In DDI	
Transition-In M&O Plan	The Contractor must develop a Transition-In M&O Plan that outlines the strategy for transitioning all M&O operations, services, and functions. The Transition-In M&O Plan must include, at a minimum, the following: • **Approach Overview** – Summary of the strategy for transitioning M&O activities • **Transition Tasks** – Description of tasks required to complete the transition and address all necessary activities • **Roles and Responsibilities** – Definition of roles and responsibilities to support accountability and coordination during the transition • **Validation Measurements** – Definitions of measures used to assess the effectiveness and success of the transition process • **Testing Approach** – Description of testing activities and performance baselines used to verify transitioned operations meet M&O standards and requirements • **Timeline** – Schedule outlining completion of transition tasks • **Assumptions, Constraints, and Dependencies** – Identification of factors that may impact Transition-In M&O	One (1) time, submitted within forty-five (45) days of the Contract start date
Transition-In Readiness Reviews	The Contractor must develop Transition-In Readiness Reviews to evaluate readiness to assume operational control and responsibility for the systems. This deliverable supports project transparency and accountability by validating services and functions identified in the Transition-In Plans. The readiness reviews must include the following: • Assessment of documentation status • Training and knowledge transfer activities • Test results • Proposed Transition Cutover activities • Confirmation of readiness Readiness reviews must include the Transition Cutover Go/No-Go decision and verification of transfer of code and system access. The Contractor must demonstrate the ability to operate the system in	Multiple times, as agreed upon with the Department

Deliverable Name	Deliverable Description	Timing/Frequency
	Production and coordinate with the Incumbent Contractor for Transition Cutover activities.	
Transition-In Execution	The Contractor must perform Transition-In Execution to implement operations, services, and functions defined in the Transition-In Plans. This deliverable supports project transparency and accountability by coordinating execution of activities aligned with established objectives. Transition-In Execution must include coordination and management of resources and activities to achieve a seamless transition, adhere to timelines, and satisfy contractual requirements. Execution activities must follow established methods and practices to support successful implementation and integration.	One (1) time

5.8.6 Maintenance and Operations Deliverables

Table 26 identifies M&O deliverables that the Contractor must produce for Department review and approval.

Table 26 – M&O Deliverables

Deliverable Name	Deliverable Description	Timing/Frequency
Daily Production Status Report	The Contractor must develop a Daily Production Status Report to provide a snapshot of system operational status. The Daily Production Status Report must include, at a minimum, the following: • **System Status Overview** – Summary of operational status, including downtime and performance issues during the reporting period • **Maintenance Activities** – Description of maintenance performed, including scheduled and unscheduled activities • **Incident and Problem Management** – Summary of incidents and problems, including description, operational impact, resolution, and prevention measures • **Recent and Upcoming Changes** – Description of system changes, including software updates, infrastructure upgrades, configuration changes, rationale, and anticipated impacts • **Security Updates** – Summary of patches applied, vulnerabilities addressed, and security incidents • **Compliance and Audit Information** – Description of compliance or audit activities performed or planned, as applicable • **Upcoming Scheduled Maintenance** – Identification of scheduled maintenance and system changes • **Risks, Issues, and Mitigations** – Identification of risks and issues and planned mitigation actions • **Action Items and Recommendations** – Identification of actions or decisions requiring Department attention	Daily by 9 a.m. ET
Operations Report	The Contractor must develop an Operations Report that includes, at a minimum, the following: • **System Performance Metrics** – Measurements used to evaluate system performance, reliability, and health, including central processing unit (CPU) utilization, memory usage, storage operations, network throughput, response time, and service availability	Daily and weekly

Deliverable Name	Deliverable Description	Timing/Frequency
	• **Program Support Metrics** – Measurements used to assess effectiveness, efficiency, and program support performance, including support and volume data specific to the program (e.g., applications processed, enrollment numbers, renewal statistics [ex parte versus manual], and enrollee demographic information) • **Production Defect Metrics** – Measurements used to track defects identified in the Production Environment during M&O operations, including number of defects, defect density, severity, time to resolution, and recurrence rate • **Special Provisions and SLA Metrics** – Provisions and metrics related to SLAs, including uptime, response and resolution times, and SLA compliance rates • **Daily Batch Operations** – Operational metrics including job completion time, success rate, failure rate, and time to recovery from errors • **Weekly Processing and Transaction Counts** – Operational data including number of transactions processed, processing times, success rates, and error counts • **Staffing Contact Information Report** – Listing of staff contact information including names, roles, phone numbers, email addresses, and emergency contacts • **M&O Reporting Dashboard** – Dashboard presenting real-time data and analytics on system performance, incident management, and service request status, including, at a minimum, the following: o System uptime o Response times o Open versus resolved tickets o Deviations from SLAs • **Other Data** – Any additional data required to support statistical analysis for State and federal agency reporting requirements	
M&O Manual	The Contractor must develop an M&O Manual that provides comprehensive information for M&O of the system. The M&O Manual must include, at a minimum, the following: • **Introduction and Overview** – General description of the manual, including purpose, scope, and contents • **Solution Description** – Description of system software, architecture, components, and hardware specifications, including diagrams and schematics • **Operational Guides and Procedures** – Documentation and resources supporting operation, maintenance, monitoring, and support of the system after Deployment • **Capacity Management Plan** – Description of the approach for managing operational capacity and planning enterprise infrastructure needs • **Availability Management** – Processes for managing system and service availability to meet requirements • **Maintenance Procedures** – Schedules and procedures for routine, preventive, and corrective maintenance	Initial submission during the Transition-In period; updated quarterly thereafter or as requested by the Department, whichever is more frequent

Deliverable Name	Deliverable Description	Timing/Frequency
	• **M&O Runbook** – Guide outlining activities and procedures supporting batch processes, including details for each process • **Emergency Procedures and DR** – Procedures for handling system failures and disasters, including restoration of services and data as part of the BC/DR Plan • **Security Policies and Procedures** – Policies and processes for system security, including access controls, data protection, authentication, and incident response • **Change Control Procedures** – Processes for managing changes, including software updates, hardware modifications, configuration changes, and deinstallation, as applicable • **Contact Information** – Listing of contacts for technical support, emergency services, the Contractor, and other relevant stakeholders • **Glossary and Abbreviations** – Definitions of technical terms, acronyms, and abbreviations used in the manual • **Document Control** – Information describing update processes, responsible parties, and communication of changes • **Compliance and Regulatory Information** – Description of compliance with State and federal regulations and applicable legal requirements • **Performance Reporting** – Policies for monitoring and reporting performance against KPIs and metrics • **SLA Performance and Management Metrics** – Metrics including the following: o Scope of services for all M&O tasks o Performance metrics and standards, including KPIs and expectations o Processes for measuring, monitoring, and reporting performance o Review and revision processes to maintain SLA relevance • **QA Procedures** – Procedures to ensure M&O activities meet required quality standards • **M&O Staffing** – Roles and responsibilities for operations and technical support staff • **Task Tracking** – Processes for managing tasks and problem tracking within the environment • **Service Interruptions** – Procedures for outage analysis • **Testing Processes** – Procedures for escalation and testing across Production and non-Production Environments • **Enterprise Scheduling** – Scheduling of operational tasks and batch processes • **Interface Management and Monitoring** – Procedures for coordinating with interface partners, managing file transfers, recovering failed processing, monitoring systems, and reporting • **Technical Database Administration** – Procedures supporting database administration and data storage • **Hardware and Software Procedures** – Technical support procedures for enterprise hardware and software	

Deliverable Name	Deliverable Description	Timing/Frequency
	• **Backup and Recovery** – Procedures for backup, recovery, archiving, data distribution, system administration, and Deployments across environments • **Service and Support Tracking and Management** – Procedures for service ticket processing, maintenance, troubleshooting, repair, Release management, and testing across operational environments	
M&O Plan	The Contractor must develop an M&O Plan that outlines methodologies, processes, and schedules for managing day-to-day operations. The M&O Plan must include, at a minimum, the following: • **Operational Framework Overview** – Summary of methodologies and processes supporting effective daily operations • **Maintenance Strategies** – Description of maintenance approaches for infrastructure and software to support system reliability and availability • **Roles and Responsibilities** – Definition of roles and responsibilities of the Contractor's operations team • **Escalation Procedures** – Processes for escalating and addressing system issues and anomalies to support timely resolution and minimal disruption • **System Reliability and Availability** – Methods and practices used to maintain system performance and minimize downtime • **Review and Update Protocol** – Schedule and process for reviewing and updating the M&O Plan • **Monitoring and Alerting Functions** – Procedures and tools for continuous monitoring and alerts of the Converged E&E System and AMS infrastructure, applications, and interfaces • **Contact Information** – Identification of key contacts for operational issues or changes • **Assumptions, Constraints, and Dependencies** – Identification of factors that may impact M&O	Initial update and submission during the Transition-In period; updated quarterly thereafter or as requested by the Department, whichever is more frequent
System Enhancement and Upgrade Report	The Contractor must develop a System Enhancement and Upgrade Report that provides an assessment of system performance. The System Enhancement and Upgrade Report must include, at a minimum, the following: • **System Performance Overview** – Summary of current system performance and identification of areas for improvement • **Areas for Improvement** – Analysis of opportunities to improve system efficiency, security, and functionality • **Proposed Upgrades** – Description of proposed software, infrastructure, and functional upgrades • **Technical and Functional Aspects** – Description of technical and functional specifications, including integration considerations for new technologies • **Software Updates** – Description of planned software updates and their impact on system operations and performance • **Infrastructure Updates** – Description of required infrastructure upgrades to support enhancements and optimize performance	Monthly

Deliverable Name	Deliverable Description	Timing/Frequency
	• **System Optimization Techniques** – Description of techniques to improve system performance and long-term reliability • **Integration of New Technologies** – Approach for incorporating new technologies to enhance system capabilities • **Recommendations and Action Items** – Identification of actions for implementing proposed upgrades The Department and the Contractor will collaborate to determine whether identified upgrades will be performed by the CBT, a major system update, or an enhancement.	
Usage and Performance Analytics Report	The Usage and Performance Analytics Report provides insights and metrics related to performance efficiency of the Converged E&E System and the AMS, as well as system utilization by end users. The report must include, at a minimum, the following: • **User Engagement Metrics** – Data such as peak usage times, common user actions, and user pathways through the application • **System Performance Metrics** – Data capturing operational health, including response times, error rates, and server uptime	Monthly
Open Enrollment Readiness Assessment	The Contractor must develop an Open Enrollment Readiness Assessment prior to the beginning of each Open Enrollment they support. The assessment must address, at a minimum, the following: • **Policy Changes** – Identification and documentation of federal, State, and programmatic policy changes since the prior Open Enrollment period, including impacts to E&E, plan shopping, and notices, and confirmation that system configuration and business rules reflect approved policy updates • **Capacity and Volume** – Validation that infrastructure, staffing, interfaces, and operational processes are scaled and tested to support forecasted application volumes, account transfers, determinations, and customer service demand • **UX** – Confirmation of readiness of the E2E consumer experience across web, mobile, and assisted channels, including plan shopping, account management, renewals, and communications • **Risk Management** – Identification of risks, mitigation strategies, and formal attestation of readiness	Annually, three (3) months prior to each Open Enrollment period supported by the Contractor

5.8.6.1 Business Continuity and Disaster Recovery Deliverables

Table 27 identifies BC and DR deliverables that the Contractor must produce for Department review and approval.

Table 27 – Business Continuity and Disaster Recovery Deliverables

Deliverable Name	Deliverable Description	Timing/Frequency
BC/DR Plan	The Contractor must develop a BC/DR Plan to maintain system operations during and after a significant disruption to business and/or technology operations. The BC/DR Plan must include, at a minimum, the following:	Initial update and submission during the Transition-In period; updated annually thereafter or as requested

Deliverable Name	Deliverable Description	Timing/Frequency
	• **Business Impact Analysis (BIA)** – Identification of impacts of disruptions on business operations, including critical systems and processes, RTOs, and prioritization of restoration activities • **Risk Assessment** – Evaluation of potential threats (e.g., natural disasters, cyberattacks, human error, technical failures), including likelihood, impact, and system vulnerabilities • **Continuity and Recovery Strategies** – Strategies for maintaining business operations during disruptions and restoring hardware, infrastructure, applications, data, and connectivity, including short-term and long-term recovery approaches • **Data Backup and Restoration Procedures** – Procedures for backing up critical data, including frequency, methods, storage locations, and restoration processes • **Roles, Responsibilities, and Emergency Contacts** – Identification of continuity and recovery team members, their roles and responsibilities, and contact information for key personnel and emergency services • **Communication Plan** – Strategy for communicating with stakeholders during and after disruptions, including predefined templates and communication hierarchy • **Training and Awareness Programs** – Materials and programs for training staff on BC/DR roles and responsibilities, including preparation to execute recovery plans • **Exercise and Testing Schedule** – Schedule and methodology for testing the plan, including tabletop exercises, simulation drills, and recovery validation activities • **Maintenance and Review Schedule** – Schedule for reviewing and updating the plan, including change control processes • **Recovery Plan Documentation** – Step-by-step recovery procedures for various disaster scenarios, including actions and criteria for returning to normal operations • **After-Action Report** – Approach for documenting lessons learned and recommendations for improvement following disruptions or exercises • **Assumptions, Constraints, and Dependencies** – Identification of factors that may impact BC and DR	by the Department, whichever is more frequent

5.8.6.2 Configuration Management Deliverables

Table 28 identifies Configuration Management deliverables that the Contractor must produce for Department review and approval.

Table 28 – Configuration Management Deliverables

Deliverable Name	Deliverable Description	Timing/Frequency
Configuration Management Plan	The Contractor must develop a Configuration Management Plan that establishes the approach for identifying, controlling, tracking, and maintaining configuration items throughout the solution life cycle, including infrastructure, software, documentation, and baselines.	Initial update and submission during the Transition-In period; updated quarterly thereafter or as requested

Deliverable Name	Deliverable Description	Timing/Frequency
	The Configuration Management Plan must include, at a minimum, the following: • **Configuration Item Identification** – Definition and classification of configuration items, including scope and processes for registering new items • **Configuration Monitoring and Control** – Approach for tracking, managing, versioning, and controlling configurations across all environments • **Configuration Management Artifacts** – Process for maintaining configuration records, baselines, and supporting documentation • **Configuration Audits** – Description of audit processes to verify configuration records reflect the deployed environment • **Reporting on Configuration Performance** – Description of audit results, configuration metrics, and compliance reporting • **Assumptions, Constraints, and Dependencies** – Identification of factors that may impact configuration management	by the Department, whichever is more frequent
Content Management Plan	The Contractor must develop a Content Management Plan that describes the approach for managing unstructured and semi-structured content throughout the data life cycle. The plan establishes principles, processes, and controls to ensure content is classified, stored, secured, retained, and disposed of appropriately. The Content Management Plan must include, at a minimum, the following: • **Life Cycle Management** – Description of controls for managing content from creation through disposition • **Content Capture and Ingestion** – Definition of methods for capturing and ingesting content from various sources, including system integrations and user inputs • **Classification, Taxonomy, and Metadata** – Definition of classification schemes, enterprise taxonomy, and metadata standards to support consistent tagging, discoverability, and alignment with data governance practices • **Storage and Repository Management** – Description of repositories, architectural approaches (centralized or federated), and processes for organizing and retrieving content • **Access Control and Security** – Definition of access management principles, including role-based access, data classification alignment, encryption, and monitoring • **Retention, Archival, and Disposition** – Definition of retention schedules, archival requirements, legal hold processes, and disposition practices aligned with regulatory and business needs • **Assumptions, Constraints, and Dependencies** – Identification of factors that may impact content management	Initial submission during the Transition-In period; updated quarterly thereafter or as requested by the Department, whichever is more frequent
Web Content Management Plan	The Contractor must develop a Web Content Management Plan that meets the requirements of ISO/IEC/IEEE 23026:2023 - Systems and Software Engineering – Engineering and Management of Websites for Systems, Software, and Services Information. The Converged E&E System and the AMS must meet current and future NYS	Initial submission during the Transition-In period; updated quarterly thereafter or as requested by the Department,

Deliverable Name	Deliverable Description	Timing/Frequency
	accessibility standards in accordance with NYS-P08-005 Accessibility of Information Communication Technology. Web content must comply with ADA requirements, WCAG 2.2, and Section 508 standards. Refer to the OHIP Solution Delivery Domain Document, Usability and Accessibility Standard for additional details.	whichever is more frequent
Data Management Plan (DMP)	The Contractor must develop a DMP that provides a structured approach for managing data across its life cycle, including collection, storage, analysis, sharing, and preservation. The DMP must include, at a minimum, the following: • **Data Scope and Summary** – Identification of the data stores to be used and definition of the scope of data to be persisted, including data types and anticipated volumes • **Risk Assessment** – Assessment of security and nonfunctional risks related to data management • **Standards, Guidelines, and Best Practices** – Identification of standards and guidelines used throughout the data management life cycle, including database design standards aligned with federal, State, and industry practices • **Tools** – Identification of tools used to support data management activities • **Data Inventory, Catalog, Data Dictionary, and Glossary** – Description of the approach for implementing and maintaining a data catalog, data dictionary, and glossary, including identification of sensitive data (Protected Health Information [PHI], Personally Identifiable Information [PII]), required FHIR elements, and applicable federal standards • **Data Lineage (Mapping)** – Description of the approach to technical and business lineage, including tracing data flows through systems and linking data to business processes • **Data Naming** – Description of naming conventions aligned with federal standards for entities and data elements • **MDM Keys** – Identification or establishment of master data keys to link data across systems, including definitions and usage • **Data Quality Management** – Strategy for ensuring data integrity, accuracy, and completeness across the analytical life cycle, including the following: o *Data Quality Dimensions* – Definition of quality dimensions with standardized calculation formulas o *Quality Thresholds by Criticality* – Definition of minimum quality thresholds by data criticality classification o *Assessment Frequency and Scheduling* – Schedule for data quality assessments based on criticality o *Validation Rules* – Documentation of validation rules for accuracy assessment (e.g., range checks, format validation) o *Monitoring and Correction Procedures* – Processes for data profiling, automated checks, timeliness monitoring, issue logging, and remediation, with preference for source correction	Initial submission during the Transition-In period; updated with every Release or as requested by the Department, whichever is more frequent

Deliverable Name	Deliverable Description	Timing/Frequency
	o *Quality KPIs and Scorecards* – Definition of data quality KPIs and reporting cadence o *RCA* – Process for conducting RCA for significant or recurring quality issues o *Upgrades* – Schedule and downtime requirements for database upgrades, maintaining major versions no older than N-1 • **Model Versioning** – Description of the approach for versioning data models and database changes, including rollback capabilities and supporting tools • **Audit and Logging** – Plan for auditing data access and changes with reportable outputs • **Backup** – Definition of backup schedules, storage locations, retention periods, verification processes, and restoration timelines • **Monitoring and Alerts** – Approach for monitoring and alerting on data anomalies • **Data Access Controls** – Identification of the Identity Provider for administrative and application access and description of security controls • **Assumptions, Constraints and Dependencies** – Identification of factors that may impact data management	
Data Management Design Document	The Contractor must develop a Data Management Design Document that provides detailed design of system data. The document must include, at a minimum, the following: • **Graphical and Textual Descriptions** – Definitions of data structures, relationships, and constraints relevant to system business operations • **Entity Relationship Diagrams (ERDs)** – Visual representations of data entities, attributes, and relationships • **Schema Definition** – Definition of database schema, including tables, fields, data types, and approaches for normalization to reduce redundancy or denormalization for performance optimization • **Assumptions, Dependencies, and Constraints** – Definition of primary keys, foreign keys, unique constraints, and other factors affecting data integrity and operations	Initial update and submission during the Transition-In period; updated quarterly thereafter or when changes are made to the database, whichever is more frequent
CDM	The Contractor must maintain and update the Converged E&E System CDM provided during Transition-In, as needed. The CDM must include, at a minimum, the following: • High-level objects or concepts relevant to the business domain • Descriptive properties or characteristics of entities • Associations between entities defining how entities interact • Glossary of business terms and definitions • Conceptual data flows between entities and systems • Domain-specific context impacting the conceptual model The Contractor must work with the Department and other vendors to align the CDM with the enterprise information architecture.	Initial update and submission during the Transition-In period; updated annually thereafter or as requested by the Department, whichever is more frequent

Deliverable Name	Deliverable Description	Timing/Frequency
LDM	The Contractor must maintain and update the Converged E&E System LDM provided during Transition-In, as needed. The LDM must include, at a minimum, the following: • Participant roles and responsibilities • LDM fields • Relationship views • Data flow diagrams (DFDs) • Data dictionary and Create, Read, Update, and Delete (CRUD) Matrix	Initial update and submission during the Transition-In period; updated annually thereafter or as requested by the Department, whichever is more frequent
PDM	The Contractor must maintain and update the Converged E&E System PDM provided during Transition-In, as needed. The PDM must include, at a minimum, the following: • Representational State Transfer RESTful Architecture • Use of HTTP methods (e.g., GET, POST, PUT, DELTE) • Persistent data model • Web-based format such as XML or JSON • Message XML schema model or equivalent	Initial update and submission during the Transition-In period; updated annually thereafter or as requested by the Department, whichever is more frequent
Data Dictionary	The Contractor must develop a Data Dictionary to define and document all data elements in the system. The Data Dictionary must include, at a minimum, the following for each data element: • Descriptions of active and obsolete elements • Data types • Formats • Permissible values • Sources • Usage • Business rules or constraints • Relationship with other data elements or entities The Contractor must work with the Department and other vendors to align this data dictionary with the Enterprise Data Dictionary.	Initial update and submission during the Transition-In period; updated quarterly thereafter or when changes are made to the database, whichever is more frequent
Business Architecture Model(s)	The Contractor must develop Business Architecture Models that provide structured representations of organizational capabilities, processes, information flows, and stakeholder relationships to align strategy and execution, independent of organizational structures, technologies, or implementation approaches. Business Architecture Models may include, at a minimum, the following: • **Business Capability Model** – Identification of high-level organizational capabilities • **Business Process Model** – Representation of E2E business activities and workflows • **Use Case Model** – Illustration of business interactions and functional scenarios from a stakeholder perspective	Annually or as requested by the Department
Integration Technical Design Document (ITDD)	The Contractor must submit an ITDD that describes the design of interfaces and processes supporting integrations with the Converged E&E System and the AMS. Developed during the Iterative Design and Development phase, the ITDD serves as a consolidated reference for integrations. The ITDD must include, at a minimum, the following:	Ad hoc, as integrations are developed or changed

Deliverable Name	Deliverable Description	Timing/Frequency
	• Overview of integration points and interfaces • Interface catalog listing interfaces and summary characteristics • Technical design of each interface supporting data exchange with partner systems, documented in a separate ICD for each interface • Assumptions, dependencies, and constraints	
ICD	The Contractor must submit an ICD that provides detailed technical specifications for each interface or integration with the Converged E&E System and the AMS. Each ICD must include, at a minimum, the following: • Interface or integration description (e.g., federal, State, county, private entities) • Interface or integration requirements • Interface or integration approach and processing logic • Communication protocols • Endpoint configurations for connecting to partner systems • Orchestration details • Test schedule and cadence • Error handling procedures • Overview of batch jobs and processes triggered by interfaces (such as MECM_BatchControl_WP_Deceased), including purpose, scope, and stakeholder roles and responsibilities	With each Release or when updates are made to the interface, whichever is more frequent
Source Code	The Contractor must develop Source Code in the Department's repository. Source Code consists of human-readable programming instructions derived from detailed design documentation and is used to transform design specifications into executable code to support system operations and meet functional and regulatory requirements.	Initial submission during the Transition-In period; updated thereafter when changes are made to code or as requested by the Department, whichever is more frequent

5.8.6.3 Escalation Management Deliverables

Table 29 identifies Escalation Management deliverables that the Contractor must produce for Department review and approval.

Table 29 – Escalation Management Deliverables

Deliverable Name	Deliverable Description	Timing/Frequency
Problem Management Plan	The Contractor must develop a Problem Management Plan that outlines the approach for identifying, analyzing, and resolving problems. The Problem Management Plan must include, at a minimum, the following: • **Problem Management Policy and Procedures** – Documentation of principles, goals, roles, responsibilities, workflows, and communication protocols for problem management • **Problem Identification, Logging, and Categorization** – Methodology and procedures for identifying, logging, and categorizing problems	Initial submission during the Transition-In period; updated quarterly thereafter or as requested by the Department, whichever is more frequent

Deliverable Name	Deliverable Description	Timing/Frequency
	• **Prioritization Methods** – Approach for prioritizing problems based on impact and urgency • **RCA Approach** – Tools and methodologies for conducting RCA to identify underlying causes • **Problem Resolution Procedures** – Processes for resolving problems, including approval processes and capture of resolutions and workarounds • **Reporting and Metrics** – KPIs and metrics used to measure effectiveness, including reporting on problem data, trends, and recurring issues • **Communication Plan** – Processes for communicating status, progress, and resolutions to stakeholders • **Training** – Approach for training Contractor staff on problem management processes and tools • **ITSM Process Integration** – Approach for integrating problem management with other ITSM processes, including incident management, change control, and configuration management • **Continuous Improvement** – Processes for ongoing assessment and enhancement of problem management practices • **Assumptions, Constraints, and Dependencies** – Identification of factors that may impact problem management	
Incident Management Plan	The Contractor must develop an Incident Management Plan that outlines procedures and responsibilities for handling incidents that disrupt normal business operations or IT services. The Incident Management Plan must include, at a minimum, the following: • **Incident Life Cycle Procedures** – Documentation of policies, procedures, and workflows across the incident life cycle, including prioritization and escalation, investigation, diagnosis, resolution, recovery, and post-incident review • **Roles and Responsibilities** – Definition of stakeholder roles and responsibilities in the incident management process • **Incident Logging and Classification** – Approach for logging and classifying incidents to support consistent and accurate recordkeeping • **Communication Plan** – Protocols for communicating incident status to stakeholders, including users, support teams, and management • **Incident Reporting and Metrics** – Approach for reporting performance, including KPIs such as MTTR and incident volumes • **Training and Awareness** – Approach for training staff on incident management policies and procedures • **Continuous Improvement** – Process for monitoring and improving incident management practices • **Assumptions, Constraints, and Dependencies** – Identification of factors that may impact incident management	Initial submission during the Transition-In period; updated quarterly thereafter or as requested by the Department, whichever is more frequent
Defect Management Plan	The Contractor must develop a Defect Management Plan that defines the approach, activities, and roles for managing defects	Initial submission during the Transition-In period; updated quarterly thereafter or as requested

Deliverable Name	Deliverable Description	Timing/Frequency
	across identification, triage, and resolution. The Defect Management Plan must include, at a minimum, the following: • **Defect Management Policy and Procedures** – Documentation of policies, procedures, timelines, and workflows aligned with ITIL best practices • **Defect Management Process Flowchart** – Visual representation of the defect management process from identification through resolution • **Roles and Responsibilities Matrix** – Matrix outlining stakeholder roles and responsibilities and the process for coordinating response teams to support effective defect resolution • **Defect Identification and Classification System** – Process for identifying and documenting defects, including descriptions and tracking of defect volumes across non-Production and Production Environments, including the following: o *Prioritization and Escalation Procedures* – Process for assessing impact, severity, and priority of defects across business processes o *Defect Log* – Process for maintaining, tracking, and updating defect records, including details, resolution status, and associated dates and times • **Continuous Improvement Plan** – Activities to reduce the occurrence and impact of defects in business operations, including alignment with M&O planning efforts • **Assumptions, Constraints, and Dependencies** – Identification of factors that may impact defect management	by the Department, whichever is more frequent
Patch Management Plan	The Contractor must develop a Patch Management Plan that defines the approach for identifying, acquiring, installing, and verifying software updates and patches on system components. The plan must utilize the automation and capabilities of the Converged E&E System's cloud-native architecture for updates and patches and support system security, stability, and compliance by addressing vulnerabilities, improving performance, and implementing enhancements. The Patch Management Plan must include, at a minimum, the following: • **Patch Management Procedures** – Documentation of patch management procedures, durations, flowcharts, and workflows aligned with ITIL best practices, including procedures for emergency patches • **Roles and Responsibilities Matrix** – Identification of roles and responsibilities of the patch management team, including system administrators, security personnel, and relevant stakeholders • **Patch Identification and Acquisition** – Process for identifying vulnerabilities and acquiring patches from trusted sources • **Patch Evaluation and Testing** – Criteria and procedures for evaluating patches based on severity, necessity, and impact, including use of a segregated testing environment and testing for functionality and security • **Patch Deployment Schedule** – Definition of the patch deployment schedule and prioritization based on severity	Monthly

Deliverable Name	Deliverable Description	Timing/Frequency
	• **Verification and Documentation** – Processes for verifying and documenting successful deployment • **Reporting** – Reporting mechanisms for communicating status and effectiveness of patch management activities • **Rollback Strategy** – Process for rolling back patches, including restoration from backups and communication to stakeholders • **Assumptions, Constraints, and Dependencies** – Identification of factors that may impact patch management	
Corrective Action Plan (CAP)	The Contractor must submit a CAP when issues are identified that do not meet standards, contractual obligations, or performance thresholds. A CAP may be required across multiple domains, including, at a minimum, incident management, data quality remediation, compliance violations, and performance deficiencies. The purpose of a CAP remains consistent across domains; however, its application may vary depending on context. Each CAP must include, at a minimum, the following: • **Issue Identification** – Description of the issue or noncompliance, including scope and impact • **RCA** – Identification of root causes and contributing factors to prevent recurrence • **Action Steps** – Definition of corrective activities, including timelines and milestones • **Responsibility Assignment** – Designation of roles responsible for executing and overseeing corrective actions • **Metrics for Success** – Criteria used to measure effectiveness and completion of corrective actions • **Monitoring and Evaluation** – Processes for tracking progress and evaluating effectiveness over time • **Review and Approval Process** – Protocol for reviewing actions and obtaining stakeholder approval • **Communication Strategy** – Approach for communicating updates and outcomes, including documentation and reporting • **Risk Assessment** – Evaluation of risks associated with corrective actions and corresponding mitigation strategies	Upon identification of issues that do not meet desired standards, contractual obligations, or performance thresholds

5.8.6.4 Technology Operations Deliverables

Table 30 identifies Technology Operations deliverables that the Contractor must produce for Department review and approval.

Table 30 – Technology Operations Deliverables

Deliverable Name	Deliverable Description	Timing/Frequency
Procurement and Licensing Assessment Report	The Contractor must develop a Procurement and Licensing Assessment Report that provides analysis of usage and anticipated product needs to inform the software procurement process for all system components. The Procurement and Licensing Assessment Report must include, at a minimum, the following: • Expected and actual license usage metrics, as available	Initial submission during the Transition-In period; updated quarterly thereafter or as requested by the Department,

Deliverable Name	Deliverable Description	Timing/Frequency
	• Forecast of future licensing requirements based on system growth and evolving demands • Identification of underutilization, overutilization, and optimization recommendations • Types of recommended licenses • Number of users and licenses required • Terms of use • License costs • Compliance considerations • Assessment of unlimited license products requiring certification • Reporting on license consumption and renewal timelines • Risk assessment for licenses approaching end-of-life or end-of-support • Comparison of current licensing models and proposed alternatives (e.g., subscription versus perpetual)	whichever is more frequent
Technology Refresh Assessment Report	The Contractor must develop a Technology Refresh Assessment Report that provides evaluation of the current technology environment, including hardware, infrastructure, software, network components, and associated performance metrics. The report must include, at a minimum, the following: • **Current State Assessment** – Analysis of existing capabilities, performance, and health of solution components • **Gap and Risk Identification** – Identification of gaps and risks requiring upgrades or replacements to meet operational requirements, security standards, or end-of-life and end-of-support timelines • **Technology Advancement Opportunities** – Identification of technology advancements to improve efficiency, security, or scalability • **Prioritized Recommendations** – Recommended upgrades or replacements prioritized based on risk, impact, and cost • **Cost and Timeline Estimates** – High-level estimates for cost and implementation timelines of recommended refresh activities	Initial submission after the first year of M&O; updated annually thereafter or as requested by the Department, whichever is more frequent

5.8.6.5 Business Support Services Deliverables

Table 31 identifies Business Support Services deliverables that the Contractor must produce for Department review and approval.

Table 31 – Business Support Services Deliverables

Deliverable Name	Deliverable Description	Timing/Frequency
Ongoing CMS Post-Certification Reporting	The Contractor must develop Ongoing CMS Post-Certification Reporting, including, at a minimum, the following: • CMS-required outcomes reporting • State-specific outcomes reporting • Measurable metrics and evidence reporting • Other operational reporting required by CMS	Initial submission during the M&O period; submitted monthly or as requested by the Department, whichever is more frequent

Deliverable Name	Deliverable Description	Timing/Frequency
Lost/Stolen Asset Process	The Contractor must develop a Lost/Stolen Asset Process that defines procedures for identifying and addressing lost or stolen assets.	Initial submission during the Transition-In period; updated annually thereafter or as requested by the Department, whichever is more frequent

5.8.6.6 FinOps Deliverables

Table 32 identifies FinOps deliverables that the Contractor must produce for Department review and approval.

Table 32 – FinOps Deliverables

Deliverable Name	Deliverable Description	Timing/Frequency
Cloud FinOps Plan	The Contractor must develop a Cloud FinOps Plan to support alignment of cloud operations and costs with business goals, optimize performance, and maintain financial accountability. The Cloud FinOps Plan must include, at a minimum, the following: • **FinOps Governance and Operating Model** – Governance policies, decision-making structure, escalation paths, and alignment with business goals and regulatory requirements • **Roles and Responsibilities** – Identification of stakeholders, including roles, responsibilities, and authority levels • **Financial Management Practices** – Approach for budgeting, cost allocation, forecasting, and system value tracking • **Cost Optimization and Efficiency** – Resource and capacity management, optimization techniques, and cost monitoring and alerting • **Assumptions, Constraints, and Dependencies** – Identification of factors that may impact Cloud FinOps	Initial update and submission during the Transition-In period; updated annually thereafter or as requested by the Department, whichever is more frequent
Monthly Cloud Usage and Spend Report	The Contractor must develop a Monthly Cloud Usage and Spend Report that provides insight into cloud resources utilization, efficiency, and cost impact. The report must include cloud usage and spend data to support resource right-sizing analysis. The Monthly Cloud Usage and Spend Report must include, at a minimum, the following: • **Usage Statistics** – Summary of cloud resource consumption, including compute, storage, networking, and service usage across environments and time periods • **Performance Metrics** – Indicators of system performance and reliability, including availability, latency, throughput, and resource utilization trends • **Cost Analysis** – Breakdown of cloud spending by service, environment, application, or business unit, including identification of cost drivers, anomalies, and areas of increased spend • **Resource Efficiency** – Evaluation of resource utilization, including identification of underutilized, overprovisioned, and idle resources	Monthly and ad hoc

Deliverable Name	Deliverable Description	Timing/Frequency
	• **Resource Provisioning and De-Provisioning** – Processes for provisioning and de-provisioning resources, including automation, approvals, and life cycle management • **Future Projections** – Forecast of expected usage and costs based on historical trends and planned changes • **Strategy Adjustments** – Recommended actions to improve cost efficiency, performance, governance, and alignment with organizational objectives	

5.8.7 Design, Development, and Implementation Deliverables

This section details the deliverables related to DDI that the Contractor must produce for the Department's review and approval.

5.8.7.1 Solution Development Life Cycle Deliverables

Table 33 identifies SDLC deliverables that the Contractor must produce for Department review and approval.

Table 33 – SDLC Deliverables

Deliverable Name	Deliverable Description	Timing/Frequency
Product Roadmap	The Contractor must develop a Product Roadmap that outlines the vision, plan, and strategy for product development and Release over time. This roadmap serves as a high-level guide for stakeholders, including development teams, executives, and consumers, providing a clear picture of expected product direction and timing. The Product Roadmap must be: • Aligned with active and upcoming OKRs and updated following each OKR Summit. • Organized into major themes, planned initiatives, or milestone groupings. • Published to a publicly accessible Department website in a Department-approved format. • Reviewed and approved by the Department prior to public posting. The Product Roadmap must provide directional insight into future workstreams for a period of no more than six (6) to twelve (12) months at a time. The Contractor must update the Product Roadmap iteratively based on programmatic priorities, operational feedback, and discovery in collaboration with the Department.	Initial submission within ninety (90) days of the Contract start date; updated annually or with each Release, whichever is more frequent
Scope Prioritization Document	The Contractor must submit a Scope Prioritization Document for each iteration that captures how candidate features, requirements, or capabilities are evaluated and ranked to determine inclusion in each iteration. The Scope Prioritization Document must include, at a minimum, the following: • **Candidate Scope Inventory** – Summary of features, requirements, business rules, technical capabilities, security and privacy controls, or backlog items considered for prioritization • **Prioritization Criteria** – Identification of factors (e.g., business value, regulatory urgency, risk) used to inform prioritization	During the Scope Prioritization phase of each Release

Deliverable Name	Deliverable Description	Timing/Frequency
	• **Stakeholder Feedback and Decisions** – Documentation of stakeholder alignment across business, technical, and program areas • **Iteration and Release Alignment** – Mapping of prioritized scope to specific Iterations or planned Releases • **Out-of-Scope Items** – Identification of deferred or excluded items with rationale • **Dependency and Constraint Awareness** – Identification of dependencies and constraints influencing prioritization	
Requirements Management Plan	The Contractor must develop a Requirements Management Plan that describes the framework for gathering, documenting, classifying, standardizing, maintaining, validating, and testing requirements throughout the Contract term. The plan must define the approach for achieving and maintaining requirements traceability. The Requirements Management Plan must include, at a minimum, the following: • **Requirements Identification** – Processes for gathering and capturing requirements from stakeholders, including workshops, interviews, surveys, and document analysis • **Requirements Documentation** – Methods and tools used to document requirements, including specifications, user stories, and use cases • **Requirements Analysis** – Techniques for analyzing requirements to confirm completeness, feasibility, and alignment with objectives, including validation and impact analysis • **Requirements Prioritization** – Approach for prioritizing requirements based on stakeholder importance, cost, risk, and project impact • **Requirements Traceability** – Establishment of traceability tools or matrices linking requirements to project artifacts • **Requirements Change Control** – Processes for managing requirement changes, including documentation, evaluation, and approval • **Verification and Validation** – Processes for confirming requirements are implemented correctly and deliver intended value, including reviews, inspections, and testing • **Requirements Communication** – Strategies for communicating requirements status, changes, and decisions to stakeholders • **BAQA Plan** – Description of standards, templates, tools, review cadence, metrics, and escalation paths governing the BAQA program • **Assumptions, Constraints, and Dependencies** – Identification of factors that may impact requirements management	Initial submission during the Iterative Design and Development phase of each Release; updated throughout the SDLC or as requested by the Department, whichever is more frequent
Release Management Plan	The Contractor must develop a Release Management Plan that defines the approach and procedures for managing and tracking Releases, deploying Releases to system environments, and the process for obtaining approval for Production Deployments. The	Initial submission during the Scope Prioritization phase of each Release; updated throughout the SDLC or as requested by

Deliverable Name	Deliverable Description	Timing/Frequency
	Release Management Plan must include, at a minimum, the following: • **Release Procedures** – Framework for overseeing Release management processes, including roles and responsibilities of governance bodies and stakeholders involved in authorization and review • **Roles and Responsibilities** – Definition of roles and responsibilities associated with planning, building, testing, and deploying Releases • **Scope Prioritization** – Process for prioritizing features and functionalities for inclusion Releases • **Release Planning** – Procedures for developing Release schedules and plans, including timelines, milestones, and dependencies • **Release Builds** – Processes for creating and assembling Release components, including configuration, integration, and version control • **Release Testing** – Processes for testing Releases, including unit testing, integration testing, system testing, and UAT • **Release Preparation for Deployment** – Processes for final readiness, including quality checks, documentation, and stakeholder approval • **Deployment Process (including Rollback)** – Procedures for deploying Releases to Production, including rollback processes • **Release Validation** – Methods for confirming Releases meet requirements and perform as intended, including post-Deployment validation and stakeholder feedback • **Release Closure** – Processes for closing Releases, including lessons learned documentation, reviews, and archival of artifacts • **Assumptions, Constraints, and Dependencies** – Identification of factors that may impact Release management	the Department, whichever is more frequent
Release Plan	The Contractor must develop a Release Plan that outlines how a product or feature will be introduced to end users and ensures all aspects of the Release are planned, coordinated, and executed. The Release Plan must include, at a minimum, the following: • **Deployment Items** – Identification of infrastructure, application, and software components to be deployed and associated features • **Release Schedule** – Timeline, including Deployment dates, dependencies, pre-Deployment activities, and key milestones • **Change Control** – Processes for managing Release-level changes and escalation procedures • **Contingency Plan** – Procedures for addressing delays, conflicts, or failures during Release execution • **Assumptions, Constraints and Dependencies** – Identification of factors that may impact Release planning	Each Release
AI Usage Plan	The Contractor must develop an AI Usage Plan that defines requirements for deployment and use of AI technologies aligned with Department objectives. The AI Usage Plan must include, at a minimum, the following:	Initial submission during the Scope Prioritization phase of the first Release; updated with each

Deliverable Name	Deliverable Description	Timing/Frequency
	• **State Entity/Agency Name** – NYS organization using AI • **AI System Manufacturer Name** – Designer or provider of the AI system (e.g., OpenAI, IBM, Amazon, Google) • **AI System Product Name** – Name of the AI product (e.g., ChatGPT, IBM Watson, Bedrock, Gemini) • **Primary System Capability** – Functionality of the system based on ITS AI Inventory categories • **Purpose and Uses of AI** – Description of the problem addressed and intended use cases • **AI System Information Owner** – Owner of the AI system information • **Benefit Analysis and Justification** – Description of business benefits and justification compared to non-AI alternatives • **Model Technical Specification** – Model, architecture, and key algorithm details • **Model Training Data and Methodology** – Description of training data sources, size, quality, provenance, and preparation methods • **Performance Metrics** – Metrics such as accuracy, precision, recall, and F1 score • **Representative Use Cases** – Examples of system usage and target users • **Data Governance and Ownership** – Evidence of enforceable agreements for data use, ownership, and disposal • **Privacy Impact Assessment** – Evaluation of impacts on PII, PHI, and privacy rights • **Intellectual Property and Licensing** – Description of any intellectual property considerations • **Regulatory and Policy Assessment** – Applicable laws, policies, standards, and compliance controls • **Testing and Validation Plan** – Plan for testing model accuracy, reliability, and performance • **Risk Assessment and Management** – Risks aligned with NIST AI Risk Management Framework (RMF), including fairness, bias, privacy, security, and safety • **Potential Biases and Limitations** – Identification of potential biases or limitations • **Responsible AI Considerations** – Description of ethical considerations, including privacy concerns, fairness, transparency, workforce impact, and societal impact • **Transparency and Explainability** – Description of how outputs are documented and explainable • **AI Security and Privacy Awareness Training** – Plan for training personnel, including the following: o Terminology o Risks and implications of building, buying, or utilizing large language models (LLMs) o Permissible use and security awareness o Fair use policies o Healthy AI interaction	Release or as requested by the Department, whichever is more frequent

Deliverable Name	Deliverable Description	Timing/Frequency
	• **Human Oversight** – Oversight processes, conditions for intervention, and authority to override AI outputs • **Life Cycle Management** – Approach for continuous testing, evaluation, verification, and validation (TEVV) across the AI life cycle	
Iteration Planning Document	The Contractor must develop and submit an Iteration Planning Document, which serves as the execution blueprint for the objectives, scope, and success criteria for the specific iteration cycle. The Iteration Planning Document must include, at a minimum, the following: • **Requirements Gathering** – Methods for gathering system requirements for each iteration • **Design and Development** – Approach for defining specifications for the iteration based on design documents, UI mockups, and interface specifications for all capabilities proposed • **Testing Methodology** – Approach to testing and validating that design and development activities are in accordance with agreed-upon requirements, including documentation of test case development • **Solution Exploration** – Approach for providing access to developed and SIT-tested functionality to gather stakeholder feedback	At the beginning of each iteration during the Iterative Design and Development phase of each Release
RTM	The Contractor must develop and maintain an RTM that tracks the relationship and traceability of requirements throughout the SDLC and project life cycle, ensuring each requirement, including functional and nonfunctional requirements, is addressed from inception through design, development, and testing. The Contractor must be able to generate reports of changes to the RTM. The RTM must map requirements to corresponding design, development, and verification artifacts to support transparency and accountability. The RTM must be maintained and managed throughout the SDLC using the Department's preferred tool.	Initial submission during the Iterative Design and Development phase; updated throughout the SDLC for each Release or as requested by the Department, whichever is more frequent
Cloud Design Document (CDD)	The Contractor must develop a CDD that outlines the architecture and technical specifications for deploying a cloud-based system. It serves as a blueprint detailing infrastructure components, configurations, and processes to support a secure, scalable, and efficient cloud environment. The CDD must include, at a minimum, the following: • **Executive Summary** – Overview of the application and infrastructure, purpose and objectives of the CDD, and summary of design changes and intent • **Architecture and Component Design** – Design of the cloud infrastructure, including major components, interactions, and Deployment architecture supported by diagrams • **Compute and Storage Solutions** – Design of computing resources and storage configurations to support application performance and data management • **Networking and Security Configuration** – Architecture and configuration of network connectivity, traffic management, and security controls	Initial submission during the Iterative Design and Development phase of the first Release; updated with each Release or as requested by the Department, whichever is more frequent

Deliverable Name	Deliverable Description	Timing/Frequency
	• **Database and Data Management Services** – Design of data storage, retrieval, and secure data flows across systems • **Integration, Interoperability, and API Management** – Design of integration points, data exchanges, and API development, including interoperability and security • **Identity, Access, and Compliance Management** – Design of access management, identity controls, and compliance with regulatory requirements • **Supporting Documentation and Appendices** – Tables, charts, and diagrams supporting the design	
System Architecture Design Document (SADD)	The Contractor must develop an SADD that outlines the technical and architectural design of the system. It serves as a blueprint that guides planning, implementation, and management of the SA. The SADD must include documentation, diagrams, and descriptions. These must address infrastructure, application components, security measures, network configurations, and change control processes. The SADD must include, at a minimum, the following: • **Executive Summary** – Overview of the application and infrastructure, purpose and objectives, and summary of changes and design intent • **Application and Infrastructure Architecture** – Overview of the supported application, including high-level architecture diagrams and key component descriptions • **Infrastructure Details** – Diagrams of current and proposed infrastructure and summary of changes or enhancements • **Compute and Storage Specifications** – Specifications of servers, roles, storage capacity, types, allocation details, and data retention and backup processes • **Network Architecture and Configuration** – Network topology, load balancing, routing, firewall configurations, IP address management, and subnetting • **Security Design and Policies** – Firewall rules, security groups, network access control lists (NACLs), and authentication and encryption mechanisms • **Identity and Role Management** – Account types, permissions, and RBAC implementation • **Certificate and Simple Mail Transfer Protocol (SMTP) Management** – Certificates, renewal and expiration processes, SMTP relay configuration, and email policies • **Data Workflow Processes** –DFDs, data input, processing, output, and key business and IT processes • **Change Control and Impact Analysis** – PCR process, documentation requirements, review and approval workflows, impact analysis, risk assessments, and mitigation strategies • **Batch Processing Design** – Documentation of all batch jobs and batch processes that are part of the Converged E&E System and AMS, regardless of triggering mechanism (interface-triggered, scheduled, or event-driven), including each job's purpose and scope; execution schedule or trigger; dependencies and sequencing; error handling, restart, and recovery; and stakeholder roles and responsibilities	Initial submission during the Transition-In period; updated during each Release as changes are made to infrastructure architecture, applications, application frameworks, shared application services, or software specifications, or as requested by the Department, whichever is more frequent

Deliverable Name	Deliverable Description	Timing/Frequency
	• **Supporting Documentation and Appendices** – Tables, charts, and diagrams supporting the design	
Functional Design Documents (FDDs)	The Contractor must develop FDDs that describe functional requirements and specifications for new or updated system components. These documents include descriptions of functionality, UIs, workflows, data inputs and outputs, and business rules supporting Medicaid operations (e.g., eligibility determination, claims processing, and reporting). FDDs must reference applicable design documents and include, at a minimum, the following: • **Functional Requirements** – Definition of required system behavior, including dependencies, constraints, and acceptance criteria • **Nonfunctional Requirements** – Security, performance, availability, scalability, usability, and accessibility requirements • **UI Specifications** – Description of user interactions, including wireframes or mockups and usability considerations • **Workflow Descriptions** – E2E business and system workflows, including decision points and system interactions • **Inputs and Outputs** – Required inputs and expected outputs, including business logic, interfaces, integration points, APIs, and data sources • **Security and Compliance Requirements** – Functional security requirements, including access controls, data protection, and compliance considerations • **Acceptance Criteria** – Conditions for successful implementation and readiness for testing and approval	Initial submission during the Transition-In period; updated during each Release as changes are made to infrastructure architecture, applications, application frameworks, shared application services, or software specifications, or as requested by the Department, whichever is more frequent
BOM	The Contractor must develop a BOM that provides an inventory of software and cloud components required for the Converged E&E System. The BOM must include, at a minimum, the following: • Product name • Purpose • Component or component layer • Environment and/or instance details • Quantity • Licensing details • Monthly estimated cost per product • Annual estimated cost per product • Version or Release for each component • End-of-life and end-of-Support dates	Initial submission during the first Release; updated with each Release or as requested by the Department, whichever is more frequent
Policy and Business Rules Implementation Plan	The Contractor must develop a Policy and Business Rules Implementation Plan that describes the approach for executing and maintaining business rules and policies within key business domains. The Policy and Business Rules Implementation Plan must include, at a minimum, the following: • **Rules Scope and Summary** – Description of business domains and systems in scope, including out-of-scope areas and transitional exceptions	Initial submission during the Iterative Design and Development phase of the first Release; updated as requested by the Department

Deliverable Name	Deliverable Description	Timing/Frequency
	• **Rule Inventory and Prioritization** – Catalog of new or modified rule groupings with unique identifiers and priority levels based on regulatory deadlines or business impact • **Timeline and Milestones** – High-level phases, including design, authoring, testing, and Deployment, with target dates and key milestones such as governance checkpoints (e.g., policy sign-off, UAT completion, Go-Live approval) • **Rule Implementation Team** – Description of implementation teams roles, responsibilities, number of rule implementers, and qualifications • **Rule Testing Methods** – Description of testing methods to achieve full coverage and meet quality control requirements, including references to rule source or authority • **Rule Deployment Methods** – Description of Deployment activities, including pre-Deployment checks, Deployment steps, and post-Deployment validation • **Rule Change Analysis** – Description of how proposed rule changes are evaluated against existing data for business impact • **Tools** – Identification of tools used, including rule engines and rule management tools • **Rule Reporting and Performance Metrics** – Identification of runtime metrics, business KPIs, and review and audit schedules • **Risk and Mitigation** – Identification of potential technical or regulatory risks and corresponding mitigation strategies • **Assumptions, Constraints, and Dependencies** – Identification of factors that may impact policy and business rule implementation	
Business Rules Documentation	The Contractor must develop Business Rules Documentation that serves as the authoritative source for all business rules. Business Rules Documentation must include, at a minimum, the following: • **Business Rules Catalog** – Inventory of business rules with identifiers, descriptions, categorization, source references, ownership, status, and version history • **Business Rules Specification Document** – Detailed rule definitions, including logic, interpretation, assumptions, dependencies, interactions, and mapping to system modules and data elements • **Business Rules Traceability Matrix** – Traceability linking business rules to originating policies or regulations, associated requirements, business processes, system functions, and validation test cases	Each Release
Iteration Close Report	The Contractor must submit Iteration Close Reports to document iteration outcomes and provide transparency into delivered scope, quality results, and readiness to proceed. Each Iteration Close Report must include, at a minimum, the following: • **Completed Scope** – Summary of delivered, deferred, or removed items • **Testing and Quality Outcomes** – Results of testing, defects, and quality indicators	At the end of each iteration during the Iterative Design and Development phase of each Release

Deliverable Name	Deliverable Description	Timing/Frequency
	• **Requirement and Traceability Status** – Confirmation of requirement completion and traceability updates • **Open Issues and Carryover Items** – Items requiring resolution in future iterations • **Lessons Learned** – Insights to improve future iterations	

5.8.7.2 Data Conversion and Migration Deliverables

Table 34 identifies DC&M deliverables that the Contractor must produce for Department review and approval.

Table 34 – Data Conversion and Migration Deliverables

Deliverable Name	Deliverable Description	Timing/Frequency
DC&M Gap Analysis	The Contractor must conduct a comprehensive, upfront fact-finding and scoping exercise to analyze the scale, structure, risks, and complexity of migrating, reconciling, and aligning legacy data from the NYSOH System to the Converged E&E System. The purpose of this deliverable is to identify and document the semantic, structural, relational, operational, and business rule gaps and to define clear "landing spots" in the Converged E&E System for NYSOH System data. The DC&M Gap Analysis must include, at a minimum, the following: • Current-state assessment of NYSOH System data structures, data dictionaries, data stores, interfaces, business rules, reference data, master data, reports, batch processes, and operational dependencies • Target-state alignment to Converged E&E System data structures, data dictionaries, data stores, interfaces, business rules, reference data, master data, reports, batch processes, and operational processes • Evaluation of business rules and policy logic • Assessment of ETL process compatibility • MDM and identity resolution analysis, including duplicate resolution, HMID or equivalent identifier assignment, survivorship logic, and cross-system matching requirements • Reference data and code set alignment • Historical data and retention analysis, including migration versus archive/read-only disposition • Integration and batch processing impacts • Gap identification for unmapped, partially mapped, conflicting, duplicate, obsolete, missing, or ambiguous data elements, entities, attributes, reference values, and transformation rules • Risks and mitigations	Submission within ninety (90) days of the Contract start date
DC&M Plan	The Contractor must develop a DC&M Plan that outlines the strategy, steps, and considerations for transferring data from one (1) system to another. The DC&M Plan must include, at a minimum, the following: • **Synchronization Strategy** – Approach for maintaining synchronization between legacy systems and new systems during phased rollout	Each Release

Deliverable Name	Deliverable Description	Timing/Frequency
	• **Data Profiling Reports** – Results of statistical and distribution analyses of source data, including patterns, outliers, nulls, and referential issues, to inform mapping and rule design • **Data Mapping Criteria** – Standards and rules for mapping source data to destination systems • **Data Lineage** – Documentation of data movement, origins, and transformations across systems • **Conversion Environments** – Definition of infrastructure used to support DC activities • **Conversion Schedule** – Timeline for DC phases, including milestones and deadlines • **Tools** – Software and utilities used for ETL, synchronization, and validation • **Stakeholder Identification and Engagement** – Identification of stakeholders engagement approach for conversion activities • **Data Acceptance Criteria** – Conditions required to accept migrated data as valid and complete • **Testing and Validation Plan** – Procedures to verify data integrity, performance, and functionality post-conversion, including control totals, thresholds, exception handling, reconciliation approvals, and approaches for Deployment Procedure Reviews and production data testing • **Backup and Recovery Plan** – Strategies for backing up and recovering data, including secure, immutable snapshots of conversion data, scripts, and reports retained for audit, rollback, and compliance • **Security Plan/Data Protection Plan (DPP)** – Measures to protect data during conversion, including encryption, access controls, and compliance with privacy regulations • **Roles and Responsibilities** – Definition of roles and responsibilities for conversion activities • **Cutover Runbook** – Step-by-step plan for Cutover execution • **Security Plan** – Conversion-specific security controls and approach for securing, managing, and testing Production data in non-Production Environments • **Risk Register** – Identification of DC risks, including impact, likelihood, mitigation, ownership, and status • **Assumptions, Constraints and Dependencies** – Assumed conditions, existing limitations, and interdependencies that may impact the conversion plan	
Data Quality Assessment Report	The Contractor must develop a Data Quality Assessment Report that evaluates, documents, and communicates the health of data against defined quality standards. This ensures that risks are identified and addressed before the data is relied upon for operations, analytics, reporting, or transformation initiatives. The Data Quality Assessment Report must include, at a minimum, the following: • **Data Profiling** – Source data profiling by domain, including completeness, uniqueness, validity, patterns, outliers, and referential integrity, showing how data behaves in practice,	Initial submission prior to the first Release involving DC&M; updated during each such Release or quarterly thereafter, whichever is more frequent

Deliverable Name	Deliverable Description	Timing/Frequency
	highlighting systemic issues and anomalies, and quantifying data quality risk • **Issue Ranking and Heatmaps** – Severity-ranked issues with heatmaps to support prioritization of remediation efforts • **Baseline Quality Scorecards by Domain** – Initial measurement of data quality performance for each domain against defined rules and indicators • **Remediation Plan** – Actions to address identified issues, including ownership and target completion dates • **Data Cleansing Strategy and Categorization Rationale** – Categorization of data quality issues and justification of selected cleansing approaches	
Data Migration Inventory Report	The Contractor must develop a Data Migration Inventory Report that provides a complete, auditable catalog of in-scope and out-of-scope data to support migration planning and execution. The Data Migration Inventory Report must include, at a minimum, the following: • **Complete Data Inventory (In-Scope and Out-of-Scope)** – Comprehensive record of data to be migrated, including source systems, entities, indicative volumes, and rationale for excluded items • **Status and Progress Tracking Across Conversion Iterations** – Tracking of migration progress across iterations, including milestones, percent complete, issues, and dependencies • **Data Quality and Validation Summary per Domain** – Summary of data quality and validation outcomes, including rule results, validation checks, reconciliation status, and performance against thresholds • **Risk Management Update** – Summary of migration risks, including new risks, changes in status, and effectiveness of mitigation actions	Initial submission during the Development and Hypercare phases of the first Release; updated with each Release or as requested by the Department, whichever is more frequent
Data Mapping and Transformation Specification Document	The Contractor must develop a Data Mapping and Transformation Specification Document that provides a report of data mapping and transformation activities. The document must include, at a minimum, the following: • **Data Mapping Specifications** – List of each source data element and corresponding target element, including definitions, metadata, data types, constraints, mapping rules, and logic • **Transformation Rules** – Description of transformations for each data element, including formulas, algorithms, lookup tables, exception handling, business logic, and version history • **Validation and Testing Procedures** – Testing strategy for validating data mapping and transformation accuracy and completeness, including metrics and approaches for dry runs and Production data testing • **Transformation and Load Scripts** – Scripts supporting ETL processes for transforming and loading data from source systems to the target environment	Initial submission during the Iterative Design and Development phase of the first Release; updated with each Release or as requested by the Department, whichever is more frequent

Deliverable Name	Deliverable Description	Timing/Frequency
	• **Reference Data Crosswalks** – Legacy-to-target code mappings with effective dates	
Data Archival Verification Report	The Contractor must submit a Data Archival Verification Report that provides confirmation that legacy or superseded data has been archived in accordance with approved retention, security, and regulatory requirements prior to system decommissioning. The report must include, at a minimum, the following: • **Archival Scope and Datasets** – Identification of systems, tables, files, and records subject to archival and verification • **Source to Archive Traceability** – Verification, with supporting evidence, that archived data is complete and reconciled to source systems • **Retention and Compliance** – Verification, with supporting evidence, that archival methods meet Department, State, and CMS retention requirements and that archived data is protected in accordance with security and privacy classification standards • **Access and Retrieval Readiness** – Verification, with supporting evidence, that archived data is searchable, retrievable, and accessible by authorized users	Submission within two (2) weeks following each successful data archival

5.8.7.3 Training Deliverables

Table 35 identifies Training deliverables that the Contractor must produce for Department review and approval.

Table 35 – Training Deliverables

Deliverable Name	Deliverable Description	Timing/Frequency
User Manuals	User manuals are designed to support training and must include all Converged E&E System and AMS functions, including newly developed functionality. The Department will provide the current user manuals to the Contractor. The Contractor must maintain and update the manuals, including development and incorporation of new functionality.	Updated ten (10) days before each Release or as requested by the Department, whichever is more frequent
Training Plan	The Contractor must a develop Training Plan that outlines key requirements for a successful training program, including identification of learning objectives, definition of the target audience, and selection of appropriate training methods. The Training Plan must include, at a minimum, the following: • **Objectives** – Definition of actionable goals aligned with organizational objectives and skill competencies • **Training Needs Assessment** – Description of how the target audience is identified, how knowledge and skills are assessed, and how gaps between current capabilities and required system knowledge are identified • **Audience Analysis** – Identification and description of user groups, including current skills, roles, and training needs • **Training Schedule** – Timeline for delivery of training modules, including session types, locations, required equipment, and key milestones	Initial submission during the Deployment and Hypercare phases of the first Release; updated with each Release or as requested by the Department, whichever is more frequent

Deliverable Name	Deliverable Description	Timing/Frequency
	• **Training Methodologies** – Description of training approaches, including ILT, self-paced learning, hands-on exercises, and interactive elements • **Instructional Materials** – Description of the approach for developing training resources such as manuals, tutorials, presentations, and hands-on exercises • **Curriculum Content** – Outline of training curriculum, including key topics, modules, learning objectives, user tasks, job aids, and troubleshooting guides • **Trainer Selection** – Identification of qualifications and criteria for selecting trainers with experience in system functionality and instructional delivery • **Delivery Methods** – Specification of training formats, including virtual, in-person, e-learning delivery • **Evaluation and Feedback Strategy** – Methods for evaluating training effectiveness and processes for collecting participant feedback • **Communication Plan** – Approach for communicating training information to participants such as registration and updates • **Follow-Up Support** – Description of additional support resources such as forums, help desks, or FAQs • **Assumptions, Constraints, and Dependencies** – Identification of factors that may impact training	
End-User Training Materials and Artifacts	The Contractor must develop training artifacts to support delivery in, at a minimum, the following formats: • T3 • ILT • WBT • Online Help • Job Aids	Initial submission during the Deployment and Hypercare phases of the first Release; updated with each Release or as requested by the Department, whichever is more frequent

5.8.7.4 Deployment Deliverables

Table 36 identifies Deployment deliverables that the Contractor must produce for Department review and approval.

Table 36 – Deployment Deliverables

Deliverable Name	Deliverable Description	Timing/Frequency
Deployment Plan	The Contractor must develop a Deployment Plan that guides the transition of tested changes or new solutions into the Production Environment, supporting smooth Deployments, minimizing risks, and aligning with business goals. The Deployment Plan must include, at a minimum, the following: • **Strategy and Objectives** – Description of the Deployment approach, including phased or pilot methods aligned with business goals • **Task Breakdown and Schedule** – Detailed tasks and timelines integrated into the overall project schedule • **Cutover Activities** – Identification of the following:	Initial submission during the Deployment and Hypercare phases of the first Release; updated with each Release or as requested by the Department, whichever is more frequent

Deliverable Name	Deliverable Description	Timing/Frequency
	o Final data migration o System configuration validation o User access setup o Backup preparation o Technical and business process verification o Training and support readiness o Communication updates o System lockdown o Go/no-go decision o Post-transition monitoring • **Resource Management** – Plan for availability and assignment of infrastructure, software, personnel, and tools • **Roles and Responsibilities** – Definition of Contractor and State teams roles and responsibilities • **Risk and Issue Management** – Identification and management of risks and issues, including mitigation and resolution strategies • **Blackout Periods** – Specification of periods when systems or services will be unavailable • **Rollback Procedures** – Steps to revert changes to maintain system stability • **Pre-Deployment Activities** – Checklist of detailed validation tasks and Deployment Procedure Reviews prior to Deployment • **Deployment Activities** – Checklist of detailed tasks and validations to execute Deployment • **Post-Deployment Verification** – Checklist of validation tasks to confirm successful Deployment through testing • **Impact Analysis** – Assessment of impacts to systems and processes • **Documentation** – Records of Deployment activities, approvals, and issues • **Assumptions, Constraints, and Dependencies** – Identification of factors that may impact Deployment	
Deployment Procedure Reviews Results	The Contractor must develop Deployment Procedure Review Results that document the performance and outcomes of each Deployment Procedure Review conducted during the Deployment process. Deployment Procedure Review include testing interfaces with the State and third parties and ensuring data synchronization between systems. The Deployment Procedure Review Results must include successes and failures encountered, along with corrective actions required prior to subsequent Deployment Procedure Reviews.	Initial submission during the Deployment and Hypercare phases of the first Release; updated with each Release or as requested by the Department, whichever is more frequent
Release Implementation Completion Report	The Contractor must develop a Release Implementation Completion Report that serves as a formal record of a Release Deployment into Production. The Release Implementation Completion Report must include, at a minimum, the following: • **Release Overview** – Summary of the Release, including objectives, scope, and key features	Initial submission during the Deployment and Hypercare phases of the first Release; updated with each Release or as requested by the Department, whichever is more frequent

Deliverable Name	Deliverable Description	Timing/Frequency
	• **Design and Development Compliance** – Confirmation that the Release meets specific design and development requirements • **Testing and Validation** – Summary of testing activities, including unit testing, integration testing, and UAT, and results confirming functionality and stability • **Approval for Production Deployment** – Confirmation of stakeholder approval for Production Deployment • **Impact Assessment** – Overview of impacts on systems, workflows, and processes • **Post-Implementation Challenges** – Identification and analysis of issues encountered and actions taken for resolution and prevention • **Operational Readiness** – Readiness of support teams and end users, including training and resources provided • **Recommendations and Improvements** – Suggested improvements for future Releases based on lessons learned • **Contact Information** – Identification of contacts for questions or issue resolution	
ORR	The Contractor must support the development of materials required for the ORR and any materials required by CMS for certification. ORR is a comprehensive evaluation process used to assess system readiness for CMS certification and operational Deployment. ORR documentation must include, at a minimum, the following: • **Official Certification Request Letter** – Formal request to initiate the CR process, including the system date of record acceptance, effective certification date, and required declaration • **System Acceptance Letter** – Documentation confirming that the system or module was accepted as operational at least six (6) months prior to the CR date • **PM Documentation** – Monthly Project Status Reports reflecting project health indicators, including progress tracking and user feedback • **Technical Documentation** – Artifacts such as the TMP and testing results, Deployment Plan, defect and risk lists, and independent security audit to support validation of technical readiness • **Compliance and Data QA** – Evidence of compliance with State and federal requirements, including complete and accurate data submissions and data quality performance • **Security and Privacy Controls Assessment** – Independent audit confirming compliance with security standards (e.g., NIST, Health Insurance Portability and Accountability Act [HIPAA]), including vulnerability assessments and penetration testing • **Risk Management and Mitigation Plans** – Identification of risks and plans for mitigation and defect resolution to minimize operational impact	Ad hoc

Deliverable Name	Deliverable Description	Timing/Frequency
	• **Training and Knowledge Transfer Plans** – Documentation of processes for transferring operational knowledge to end users and support staff • **Incident and Breach Reporting Procedures** – Protocols for reporting security incidents and breaches to support compliance and system integrity • **Go-Live Checklist** – Verification of pre-Deployment activities, including system testing, configuration validation, backups, approvals, and communication planning	
User Engagement Surveys and Analysis	The Contractor must develop User Engagement Surveys and Analysis to assess satisfaction and engagement of Converged E&E System and AMS users. Surveys must evaluate usability across user groups, system responsiveness, analytics support, and system reliability. The Contractor must develop surveys, coordinate survey logistics, and collect and analyze responses. The Contractor must provide survey results, key findings, and recommendations for improvement.	After each Release

5.8.7.5 Hypercare Deliverables

Table 37 identifies Hypercare deliverables that the Contractor must produce for Department review and approval.

Table 37 – Hypercare Deliverables

Deliverable Name	Deliverable Description	Timing/Frequency
Hypercare Plan	The Contractor must develop a Hypercare Plan that outlines post-Deployment activities to support stabilization of new functionality. The Hypercare Plan must include, at a minimum, the following: • **Hypercare Process Description** – Overview of processes and management strategies for Hypercare, including Contractor responsibilities • **Duration and Exit Criteria** – Timeline for the Hypercare phase and measurable conditions (e.g., zero [0] open severity level one [1] or two [2] incidents, system uptime metrics met, knowledge transfer completion) required to conclude Hypercare and transition to steady-state operations • **Incident Reporting and Resolution** – Process for documenting, tracking, and resolving severity level one (1) and two (2) incidents during Hypercare • **Outstanding Incidents Management** – Approach for addressing severity level three (3) and four (4) incidents that persist beyond the Hypercare phase • **Staffing Strategy for Support** – Identification of support staff and roles responsible for issue resolution and modifications during Hypercare • **Production Defect Remediation Plan** – Process for handling, documenting, tracking, and resolving defects identified during testing or operations, including categorization by business criticality and resolution timelines	Initial submission during the Deployment phase of the first Release; updated with each Release or as requested by the Department, whichever is more frequent

Deliverable Name	Deliverable Description	Timing/Frequency
	• **Rollback Preparedness** – Procedures for rolling back deployed functionality, including correction of critical defects and approval processes for remediation of medium and low defects • **Knowledge Transfer** – Availability of Contractor staff involved in configuration and customization to support incident resolution and transfer knowledge to Department and Contractor staff supporting M&O during Hypercare • **Assumptions, Constraints, and Dependencies** – Identification of factors that may impact Hypercare	
Hypercare Completion Report	The Contractor must develop a Hypercare Completion Report that includes, at a minimum, the following: • **Overview of the Hypercare Phase** – Description of the Release, including duration of the Hypercare window and scope of applications, modules, or functionalities monitored • **Summary of Hypercare Activities** – Description of support, monitoring, and stabilization activities performed, including coordination with technical and business teams • **Issue Management Summary** – Summary of issues logged, categorized by severity, and resolution status (e.g., resolved, deferred, or transitioned to backlog) • **Performance and Stability Metrics** – Performance data such as system availability, interface stability, batch processing outcomes, and observed performance changes during Hypercare • **User Feedback and Adoption** – Summary of user feedback, including issues, trends, usability challenges, and training or support provided • **Risks, Mitigations, and Outstanding Items** – Identification of residual risks, technical debt, and unresolved items, including mitigation actions and transition to steady-state support • **Go-Forward Recommendation** – Final assessment of system stability, confirmation of exit criteria, and required approvals or sign-offs	At the end of the Hypercare phase of each Release
Post-Release Documentation	The Contractor must develop Post-Release Documentation that provides an overview of updates to relevant design documentation. Post-Release Documentation must include, at a minimum, the following: • **Documentation Update Overview** – Summary of updates made to design and technical documentation • **Source Information Details** – Identification of source materials used for updates, including document versions • **FDD Updates** – Updates to FDDs or equivalent documentation to align with the latest Release • **Technical Design Documentation Updates** – Updates to technical design documents or equivalents • **RTM Updates** – Updates to the RTM reflecting changes to requirements during and after the Release, maintaining traceability • **Storyboards for All Screens Updates** – Updates to UI storyboard documentation to reflect current screen designs	Within sixty (60) days following each Release

Deliverable Name	Deliverable Description	Timing/Frequency
	• **Updates to Other System Artifacts** – Updates to lessons learned, failure and fix analysis, budget analysis, and other requested artifacts • **Summary Walkthrough** – Provision for conducting walkthrough sessions of updated documentation, as needed or upon request	

5.8.7.6 System Testing Deliverables

Table 38 identifies System Testing deliverables that the Contractor must produce for Department review and approval.

Table 38 – System Testing Deliverables

Deliverable Name	Deliverable Description	Timing/Frequency
TMP	For each Release, the Contractor must develop a TMP that includes, at a minimum, the following: • **Test Objectives and Scope** – Definition of testing objectives and scope, including the system components and functionality to be tested • **Roles and Responsibilities** – Definition of roles and responsibilities across the testing process, including test preparation, execution procedures, and development of test scenarios, cases, scripts, and data • **Test Case and Script Development** – Approach for developing test cases and scripts, including review and approval processes to confirm alignment with predefined standards prior to execution • **Entry and Exit Criteria** – Definition of entry and exit criteria for each test, ensuring testing begins only when conditions are met and completes when required outcomes are achieved and validated • **Testing Tools and Automation** – Identification of Department-approved testing tools and automation frameworks, including schedules for setup, configuration, and validation • **Test Data Requirements** – Requirements for test data, including data creation and masking, processes for refreshing data, and responsibility for data accuracy and suitability for testing • **Metrics and Reporting** – Approach for measuring testing progress and outcomes, including reporting formats, frequency, and metrics such as pass/fail rates, defect density, and coverage • **Communication Plan** – Approach for reporting progress, including status meetings and escalation processes • **Content for All Test Types** – Approach for managing each test type, including design of test coverage and traceability of requirements to test cases • **Assumptions, Constraints and Dependencies** – Identification of factors that may impact test management	Initial submission during the Scope Prioritization phase of the first Release; updated annually or as requested by the Department, whichever is more frequent

Deliverable Name	Deliverable Description	Timing/Frequency
Test Schedule	The Contractor must develop a Test Schedule to coordinate and execute testing activities in alignment with project objectives and quality expectations. The schedule must define testing scope, roles, environments, tools, data requirements, and dependencies and organize these elements into a timeline with milestones and deliverables. The schedule include communication and contingency planning and define methods for measuring progress and outcomes. The Test Schedule must be submitted for Department review and approval.	Each Release
Test Results Report	The Contractor must develop a Test Results Report that provides an overview of outcomes from all testing types executed during the testing phase (refer to **Section 5.2.7 – System Testing** for test types). The Test Results Report must include, at a minimum, the following: • **Test Results Overview** – Documentation of test case execution results, including pass/failed status and insights into system performance • **Defect Resolution Summary** – Summary of defects identified during testing, including resolution status and corrective action analysis • **Testing Metrics and Analysis** – Compilation of testing metrics, including coverage, defect density, and resolution rates, to support assessment of testing effectiveness • **Decision Support** – Information supporting decisions related to system Deployment based on test outcomes and performance • **Contextual Information** – Information necessary to relate test results to expected system performance and Deployment readiness	Each Release

5.8.8 Organizational Change Management Deliverables

Table 39 identifies OCM deliverables that the Contractor must produce for Department review and approval.

Table 39 – OCM Deliverables

Deliverable Name	Deliverable Description	Timing/Frequency
OCM Strategy and Master Plan	The Contractor must develop an OCM Strategy and Master Plan that defines the overarching approach, methodology, and timeline for managing organizational change throughout the project life cycle. The plan must align OCM activities with technical implementation milestones to support integration. The plan must describe the OCM governance structure, resource allocation, change-related risks and mitigation strategies, and approaches for stakeholder engagement, communication, and training.	Initial submission within sixty (60) days of the Contract start date; updated quarterly for one (1) year following the Hypercare phase
Stakeholder Analysis and Impact Assessment Report	The Contractor must develop a Stakeholder Analysis and Impact Assessment Report that identifies internal and external stakeholder groups (e.g., caseworkers, agency leadership, external providers, applicants) affected by system or operational changes. The report must assess the current state, level of influence, anticipated resistance, and operational impacts on workflows and must inform	Initial submission within sixty (60) days of the Contract start date; updated quarterly for one (1) year following the Hypercare phase

Deliverable Name	Deliverable Description	Timing/Frequency
	targeted approaches for the Communication Strategy and Execution Matrix and the Training Plan.	
Change Readiness Assessment	The Contractor must develop a Change Readiness Assessment that uses evaluative tools and reports to measure the Department's transition progress. This must include surveys and focus group summaries conducted prior to Go-Live to assess user confidence, identify resistance, and determine readiness for transition.	Initial submission six (6) months prior to Go-Live; updated three (3) months prior to Go-Live and four (4) weeks prior to Go-Live
Communication Strategy and Execution Matrix	The Contractor must develop a Communication Strategy and Execution Matrix that provides a framework for building awareness, generating buy-in, and managing expectations across the organization. The Communication Strategy and Execution Matrix must include, at a minimum, the following: • **Strategy** – Definition of messaging, target audiences, and delivery channels, and development of communication materials such as executive sponsor emails, newsletters, FAQs, and leadership talking points • **Execution Matrix** – Schedule mapping communications to project phases and milestones aligned with the Project Roadmap, with updates maintained through updates to the Project Roadmap	One (1) time within sixty (60) days of the Contract start date; updated quarterly for one (1) year following the Hypercare phase
Post-Go-Live Adoption Measurement Dashboard	The Contractor must develop a Post-Go-Live Adoption Measurement Dashboard that tracks KPIs such as system login rates, error frequency, and help desk ticket volume to monitor and identify areas requiring remediation. KPIs must align with the OCM Strategy and Master Plan. The Contractor must use the Department's preferred ITSM tool as defined in the OHIP Infrastructure and Operations Domain Document, Preferred Operational Tools Standard.	Initial submission during Deployment; updated weekly during the Hypercare phase and monthly for one (1) year following the Hypercare phase

5.8.9 Transition-Out Deliverables

Table 40 identifies Transition-Out deliverables that the Contractor must produce for Department review and approval.

Table 40 – Transition-Out Deliverables

Deliverable Name	Deliverable Description	Timing/Frequency
Transition-Out Plan	The Contractor must develop a Transition-Out Plan that outlines the strategy and tasks required to terminate the Contract and transfer system responsibilities. The Transition-Out Plan must include, at a minimum, the following: • **Task and Deliverable Descriptions** – Description of tasks and deliverables required for transition • **Transition Scope Areas** – Coverage of transition activities across SA, PM, M&O, and DDI • **Detailed Schedule** – Timeline for completing transition tasks, including transfer of documentation, source code, and in-flight system or application modifications • **Roles and Responsibilities** – Identification of roles and responsibilities for transition activities	One (1) time, no later than eleven (11) months prior to the last day of the Contract or earlier if requested by the Department

Deliverable Name	Deliverable Description	Timing/Frequency
	• **Training Plan** – Plan for knowledge transfer, including training sessions, site visits, demonstrations, audience, duration, and location • **Status Reporting** – Reporting of transition activities through Status Reports • **Approval** – Process indicating that initiation of Transition-Out activities is contingent upon Department request and approval • **Assumptions, Constraints, and Dependencies** – Identification of factors that may impact Transition-Out activities	
Transition-Out Schedule	The Contractor must develop a Transition-Out Schedule that provides a timeline for managing activities and tasks involved in system transition. The Transition-Out Schedule must include, at a minimum, the following: • **Communication** – Communication activities to coordinate transition efforts • **Status Reporting** – Reporting schedule to track progress and ensure transparency • **Knowledge Transfer** – Schedule for knowledge transfer activities supporting M&O transition • **Training** – Timeline for conducting training sessions • **Documentation Maintenance** – Timing and tasks for updating and maintaining documentation • **Data Transfer** – Schedule for transferring data with integrity and security considerations • **Migrations** – Timing for migration of systems and data • **Systems Testing** – Schedule for testing systems to confirm readiness • **QA** – Timeline for QA activities • **Systems Assumption** – Timing for formal assumption of system responsibilities by the State or Successor Contractor • **Closeout** – Schedule for Contract closeout activities	One (1) time no later than eleven (11) months prior to the last day of the Contract, updated weekly corresponding with Status Reports
Transition-Out Training and Knowledge Transfer Plan	The Contractor must develop a Transition-Out Training and Knowledge Transfer Plan that outlines the strategy for transferring knowledge during the Transition-Out period. The Transition-Out Training and Knowledge Transfer Plan must include, at a minimum, the following: • **Knowledge Transfer Overview** – Summary of activities and approaches for knowledge transfer across SA, PM, M&O, and DDI • **Sessions and Demonstrations** – Schedule and approach for conducting Transition-Out training and knowledge transfer sessions and demonstrations • **Content and Format Approval** – Submission of training materials for Department review and approval • **Schedule Arrangement** – Coordination of session dates and times to support effective knowledge transfer • **Assumptions, Constraints, and Dependencies** – Identification of factors that may impact Transition-Out training and knowledge transfer	Thirty (30) days after the beginning of the Transition-Out period; updated continuously until Transition-Out is complete

Deliverable Name	Deliverable Description	Timing/Frequency
Transition-Out Training and Knowledge Transfer Sessions	The Contractor must facilitate Transition-Out Training and Knowledge Transfer Sessions to describe the migration of knowledge and transfer of duties during the Transition-Out period. These sessions must address all areas of SA, PM, M&O, and DDI and demonstrate both logical processes and actual system operations to validate that Transition-Out activities are executed accurately and in a timely manner. The Contractor must establish and obtain approval for specific session dates and times and must submit the content and format of training materials for review and approval prior to conducting the sessions.	Ad hoc
Transition-Out Knowledge Transfer Artifacts	The Contractor must develop Transition-Out Knowledge Transfer Artifacts that that support transfer of M&O responsibilities during the Transition-Out period. These artifacts must include updated M&O manuals, documentation, training materials, demonstrations, and other relevant items required to support effective knowledge transfer.	Ad hoc
Transition-Out Weekly Status Reports	The Contractor must develop Transition-Out Weekly Status Reports to track the progress and completion of Transition-Out activities. Reports must provide detailed updates on tasks, deliverables, and milestones throughout the Transition-Out period. The Contractor must conduct weekly status meetings to review and discuss progress, including status of activities, tasks, and deliverables associated with the Transition-Out process.	Weekly during the Transition-Out period
Transition-Out Monthly Status Reports	The Contractor must develop Transition-Out Monthly Status Reports to track the progress and completion of Transition-Out activities. Reports must provide updates on tasks, deliverables, and milestones throughout the Transition-Out period. The Contractor must conduct monthly status meetings to review progress and discuss Transition-Out activities, tasks, and deliverables to maintain alignment with Transition-Out objectives.	Monthly during the Transition-Out period
Transition-Out Readiness Reviews	The Contractor must conduct Transition-Out Readiness Reviews for all services and functions identified in the Transition-Out Plan. These reviews must provide evidence that support responsibilities have been successfully migrated across SA, PM, M&O, and DDI. Reviews must include evaluation of migration activities, training completion, and knowledge transfer artifacts. During the final Transition-Out Readiness Review, the Contractor must demonstrate that all system access has been removed following Cutover.	Ad hoc, as agreed upon with the Department
Transition-Out Execution	The Contractor must perform Transition-Out Execution as the set of activities required to implement the Transition-Out Plan, ensuring all operations, services, and functions are addressed. Execution must include coordination and management of resources and activities to support a seamless transition and adherence to established timelines and Contract requirements. Execution efforts must be performed in accordance with established methods and practices to support successful transition and system integration.	During the Transition-Out period
Post-Transition Cutover Assistance	The Contractor must provide Post-Transition Cutover Assistance to the Department or a Successor Contractor for a period of two (2) months following Transition-Out Cutover. This assistance must	Ad hoc, over a two (2)-month period

Deliverable Name	Deliverable Description	Timing/Frequency
	include ad hoc support to address questions or issues that arise during the post-Cutover period. This support must enable continuity and accountability by providing timely responses and maintaining operational stability as new teams assume system responsibilities.	

5.8.10 Office Facility Deliverables

Table 41 identifies Office Facility deliverables that the Contractor must produce for Department review and approval.

Table 41 – Office Facility Deliverables

Deliverable Name	Deliverable Description	Timing/Frequency
Facility Management Plan	The Contractor must develop a Facility Management Plan that describes the office facility, including the floor plan layout, square footage, seating charts, facility specifications (e.g., electrical, internet), and other details related to M&O. The Facility Management Plan must include, at a minimum, the following: • Contractor responsibilities and those of subcontractors and the leasing entity • Physical security details, including access control, storage of IT hardware and documentation, and protection of identified physical assets • Monthly physical security audit details • Summaries of selected requirements and audit results to support HIPAA compliance	Initial submission within thirty (30) days of signing the lease; updated annually or as requested by the Department, whichever is more frequent

5.8.11 Reporting Deliverables

Table 42 identifies Reporting deliverables that the Contractor must produce for Department review and approval.

Table 42 – Reporting Deliverables

Deliverable Name	Deliverable Description	Timing/Frequency
KPI Framework	The Contractor must develop and implement a comprehensive KPI Framework that aligns with the Department's SLAs and programmatic goals to track Converged E&E System and AMS performance, as well as user and consumer satisfaction. The KPI Framework must include, at a minimum, the following: • Approach to KPI development, collection, measurement, and mitigation strategies aligned with the Issue and Risk Management Pan (within the PM Plan) and the Problem Management Plan, including design and implementation of user- and consumer-focused metrics • Reporting of KPIs, including definitions, descriptions, measurement details (e.g., calculation methods, data sources, target values), and reporting timelines (at a minimum, quarterly)	Initial submission within one hundred twenty (120) days of the Contract start date; updated annually thereafter

Deliverable Name	Deliverable Description	Timing/Frequency

	• Inclusion of software delivery performance indicators, including the following DORA metrics:
	  o Deployment Frequency
	  o Lead Time for Changes
	  o Change Failure Rate
	  o MTTR
	• Approach for continuous improvement of KPIs and reporting mechanisms
	• Approach for recurring KPI assessment and development of recommendations based on Converged E&E System and AMS performance and Department priorities
	• Recommendations for KPI mitigation when performance falls below expected thresholds, subject to Department approval	

Initial KPIs	The Contractor must document Initial KPIs following the KPI Workshop with the Department. These KPIs must, at a minimum, be meaningful, measurable, and directly aligned with the critical success factors of the Converged E&E System and the AMS.	Initial submission within one hundred twenty (120) days of the Contract start date
OKR Framework	The Contractor must develop and implement an OKR Framework to drive accountability and progress toward strategic and cross-functional goals. The OKR Framework must align with Department priorities, be updated quarterly, and support system-wide impact, transformation, and continuous improvement. Operational metrics tracked through the KPI Framework must not be duplicated. The OKR Framework must include, at a minimum, the following: • Approach to OKR development, alignment, and execution, including co-creation with the Department and definition of objectives and measurable key results no more than six (6) to twelve (12) months in advance • Plan for creating and tracking Release-specific OKRs • Approach for conducting quarterly in-person OKR Summits with Department and stakeholder participation • Quarterly OKR updates submitted for Department review and approval • Reporting of OKRs, including definitions, intended outcomes, measurement methods, ownership roles, and success criteria • Approach for recurring assessment and continuous improvement of OKRs, including analysis of key result performance trends and recommendations for structural adjustments to the OKR Framework or measurement approach • Mitigation strategies for strategic or cross-functional barriers (e.g., misaligned incentives, inter-vendor dependencies, Department resource constraints) impacting OKR progress, subject to Department review and approval	Initial submission within ninety (90) days of the Contract Start date; updated quarterly thereafter
OKR Summits	The Contractor must conduct quarterly in-person OKR Summits with Department and stakeholder participation. The OKR Summits must include, at a minimum, the following agenda items: • Review of performance against current OKRs • Identification of barriers to progress • Enhancement of cross-functional collaboration and coordination • Support for forward-looking planning and alignment	Quarterly

Deliverable Name	Deliverable Description	Timing/Frequency
	• Development of proposed OKRs for the upcoming quarter • Review and update of the Product Roadmap to align with the current OKR cycle	

5.8.12 Security and Privacy Deliverables

Table 43 identifies Security and Privacy deliverables that the Contractor must produce for Department review and approval.

Table 43 – Security and Privacy Deliverables

Deliverable Name	Deliverable Description	Timing/Frequency
SSPP	The Contractor must develop an SSPP that includes, at a minimum, the following: • **Systems Scope and Summary** – Identification of systems in scope (e.g., eligibility, billing, provider management) and any out-of-scope areas or transitional exceptions • **Location of Repository for Security Documentation** – Location and description of the repository structure for Contractor security artifacts, including draft and final documentation • **Timeline and Milestones** – High-level phases, including design, authoring, and submission, with target dates and Security and Privacy Team checkpoints • **Roles and Responsibilities** – Description of implementation team roles and responsibilities • **Security and Privacy Risk Assessment Methods** – Security testing methodology and approach for meeting security requirements • **Security and Privacy Compliance Tools** – Identification of compliance services and tools used to support the proposed systems • **Identity Providers (IdPs)** – List of identity providers and certificate stores used to support the proposed systems • **Data Use Agreements (DUAs) and Business Associate Agreements (BAAs)** – Identification of applicable DUAs and BAAs • **Security Reporting and Metrics** – Compliance metrics, reporting, and frequency • **Risk and Mitigation** – Approach for identifying, reporting, and mitigating risks • **Assumptions, Constraints, and Dependencies** – Identification of factors that may impact security and privacy compliance	Initial submission must be accepted by the Department at least twelve (12) months prior to planned Go-Live for a new environment that will store, process, access, or transmit Production-level data; thereafter, the SSPP must be maintained and updated as follows: • Annually, at a minimum • At least thirty (30) days prior to the planned promotion of new data into existing environments that store, process, access, or transmit Production-level data • Whenever a significant change is made to the solution/system component, where a significant change is defined as likely to affect the security state of the information system • As requested by the Department
SSPP Workbook	The Contractor must develop the SSPP Workbook in a Department-approved format (e.g., CMS SSPP template) to detail, track, and document adherence to the SSPP. The workbook must document how security control and risk management requirements will be implemented.	Initial submission must be accepted by the Department at least twelve (12) months prior to planned Go-Live for a new environment that will store, process, access, or

Deliverable Name	Deliverable Description	Timing/Frequency
	The Contractor must implement and maintain all security controls and risk management processes. Security controls must be organized into families to support control selection and specification. There are eighteen (18) security control families defined in NIST 800-53, along with additional safeguards required by Internal Revenue Code (IRC) § 6103(p)(4), as defined by Publication 1075 (Tax Information Security Guidelines, for Federal, State and Local Agencies), for FTI. Each family contains security controls related to specific security functions. Controls common to both CMS and IRS requirements must be documented in the SSPP Workbook. Controls specific to the protection of FTI, or controls beyond the common baseline, must also be documented. The Contractor must update and maintain the SSPP Workbook to meet CMS, NIST, and IRS security controls.	transmit Production-level data; thereafter, the SSPP Workbook must be updated and delivered to the Department as follows: • Annually, at a minimum • At least thirty (30) days prior to the promotion of new data into existing environments that store, process, access, or transmit Production-level data • Whenever a significant change is made to the solution/system component, where a significant change is defined as likely to affect the security state of the information system • As requested by the Department
Plans of Action and Milestones (POA&M)	The Contractor must submit a POA&M that addresses deficient controls identified in the SSPP. The POA&M must include target implementation dates for controls not fully implemented and must prioritize and mitigate deficiencies using compensating controls aligned with federal and State policies and standards. The Contractor must update and resubmit the POA&M quarterly throughout the Contract term to demonstrate progress and mitigation of security control deficiencies and third-party assessment findings. The State reserves the right to require additional third-party security assessments at the Contractor's expense.	Initial submission must be accepted by the Department at least twelve (12) months prior to planned Go-Live for a new environment that will store, process, access, or transmit Production-level data; thereafter, the POA&M must be maintained and updated as follows: • Quarterly, at a minimum • At least thirty (30) days prior to the planned promotion of new data into existing environments that will store, process, access, or transmit Production-level data • Whenever a significant change is made to the solution/system

Deliverable Name	Deliverable Description	Timing/Frequency
		component, where a significant change is defined as likely to affect the security state of the information system • As requested by the Department
Information Security Risk Assessment (ISRA)	The Contractor must submit an ISRA that documents the results of the assessment. This report must not be confused with the assessment itself. An ISRA evaluates vulnerabilities and threats in accordance with NIST 800-115 and NIST 800-30 that may affect confidentiality, integrity, and availability. The report must document sensitive data, critical system components, identified risks, and potential impacts of security events and must include preventative strategies to address vulnerabilities and threats. The POA&M must document, track, and address all open items identified in the ISRA.	Initial submission must be accepted by the Department at least twelve (12) months prior to planned Go-Live for a new environment that will store, process, access, or transmit Production-level data; thereafter, the ISRA must be updated and delivered to the Department as follows: • Annually, at a minimum • At least thirty (30) days prior to the planned promotion of new data into existing environments that store, process, access, or transmit Production-level data • Whenever a significant change is made to the solution/system component, where a significant change is defined as likely to affect the security state of the information system • As requested by the Department
Continuous Monitoring Plan	The Contractor must develop a Continuous Monitoring Plan to support ongoing security and privacy compliance by identifying, assessing, and mitigating risks in real time. This plan supports proactive management of threats and vulnerabilities. The Continuous Monitoring Plan must include, at a minimum, the following: • **Risk Assessment Methodology** – Processes for identifying and evaluating risks associated with system operations • **Monitoring Tools and Technologies** – Tools and technologies used for continuous system monitoring	Initial submission must be accepted by the Department at least twelve (12) months prior to planned Go-Live for a new environment that will store, process, access, or transmit Production-level data; thereafter, the Continuous Monitoring Plan must be updated and

Deliverable Name	Deliverable Description	Timing/Frequency
	• **Data Collection and Analysis** – Methods for collecting and analyzing security data to detect anomalies or threats • **Incident Response Procedures** – Protocols for responding to identified incidents or security breaches • **Reporting and Documentation** – Methods for documenting and reporting findings to stakeholders • **Roles and Responsibilities** – Roles and responsibilities of personnel involved in the continuous monitoring process • **Frequency of Monitoring Activities** – Frequency of monitoring and assessment activities • **Compliance Requirements** – Applicable compliance frameworks and standards • **Change Control Process** – Process for updating the monitoring plan in response to changes in technology, regulation, or threat landscape	presented to the Department as follows: • Annually, at a minimum • At least thirty (30) days prior to the planned promotion of new data into existing environments that store, process, access, or transmit Production-level data • Whenever a significant change is made to the solution/system component, where a significant change is defined as likely to affect the security state of the information system • As requested by the Department
Information Security and Privacy Compliance Audit	The Contractor must complete an Information Security and Privacy Compliance Audit that evaluates the Contractor's security and privacy management practices for the system. The audit must assess effectiveness of physical and digital security measures, alignment with regulatory requirements, and adequacy of incident response processes.	Submission must be completed as follows: • Annually, at a minimum • Whenever a significant change is made to solution/system components, where a significant change is defined as likely to affect the security state of the information system • As requested by the Department
Penetration Test Plan and Findings Report	The Contractor must develop a Penetration Test Plan and Findings Report to assess the security posture of systems and applications. The Penetration Test Plan must define testing methodology and, and the Findings Report must document results, including vulnerabilities identified and recommended remediation actions. The Penetration Test Plan and Findings Report must include, at a minimum, the following: • **Testing Personnel** – Personnel, qualifications, credentials, experience, and contact information • **Test Objectives** – Objectives of penetration testing and security aspects to be assessed	Submission must be completed as follows: • Annually, at a minimum • Whenever a significant change is made to solution/system components, where a significant change is defined as likely to affect the security

Deliverable Name	Deliverable Description	Timing/Frequency
	• **Scope Definition** – Systems, networks, and applications in scope, including exclusions • **Testing Methodology** – Approach, tools, techniques, and frameworks • **Risk Assessment** – Identification of risks associated with testing, including system impact and mitigation strategies • **Pre-Engagement Briefing** – Preparatory activities, including stakeholder meetings and coordination • **Execution Timeline** – Testing schedule and key phases • **Findings** – Findings, including the following: o *Executive Summary* – Summary of testing outcomes, key findings, and overall security posture o *Detailed Findings* – Vulnerabilities identified and categorized by severity o *Impact Analysis* – Potential impacts to operations and data integrity o *Recommendations* – Remediation actions, prioritization, and estimated effort o *Evidence and Supporting Data* – Logs, screenshots, and supporting documentation o *Post-Test Debrief* – Summary of post-testing activities and next steps • **Supporting Documentation** – Supporting materials such as scan results • **Assumptions, Constraints, and Dependencies** – Identification of factors that may impact the deliverable	state of the information system • As requested by the Department
System Component Inventory	The Contractor must submit a System Component Inventory that lists all managed and supported hardware and software licenses associated with the system.	Submission must be completed as follows: • Annually, at a minimum • Whenever a significant change is made to solution/system components, where a significant change is defined as likely to affect the security state of the information system • As requested by the Department
System Security and Privacy Brief	The Contractor must submit a System Security and Privacy Brief that provides an overview of system security policies, protocols, and requirements. The brief must include applicable federal and State regulations that govern data protection and privacy, such as HIPAA for health care information and NIST/FISMA for federal data security. The System Security and Privacy Brief must also describe implemented security measures and technologies.	Submission must be completed as follows: • Quarterly, at a minimum • Whenever a significant change is made to solution/system components, where a

Deliverable Name	Deliverable Description	Timing/Frequency
		significant change is defined as likely to affect the security state of the information system • As requested by the Department
Security Incident Report	The Contractor must submit a Security Incident Report documenting each security incident, including date, time, and location. The report must describe the nature, scope, affected components, potential data impact, and the initial impact assessment.	Within one (1) hour of a security incident

5.9 Service Level Agreements

SLAs define and manage the performance expectations placed on the Contractor by the Department. An effective service level management approach supports stable system operations, meets stakeholder business needs, and enables timely delivery of services and resources.

The Department reserves the right to grant waivers or temporarily suspend SLAs upon written request and sufficient justification from the Contractor. If a performance issue results in failure to meet more than one (1) SLA, multiple service credits may be applied to the Contractor.

For the purposes of SLA assessment, time units are defined as follows:

- **Business Day** – Any day from Monday through Friday, excluding State and federal holidays
- **Calendar Day** – Any day of the month from 12:00 a.m. through 11:59 p.m. Eastern Time, including weekends and State and federal holidays

The Department establishes SLAs that the Contractor is required to meet. Failure to meet SLAs will result in service credits that may be applied and deducted from the Contractor's invoiced amounts. SLAs may be modified solely at the discretion of the Department.

The Contractor, in cooperation of the Department, is responsible for monthly SLA monitoring, metrics collection, and reporting in accordance with the measurement approach documented in the applicable SLA specification documents.

The complete list of SLAs for the Converged E&E System and the AMS is provided in **Attachment F – SLAs**.

5.10 Payment

Payment of invoices and/or vouchers submitted by the successful Bidder pursuant to the terms of the Contract entered into pursuant to this RFP shall be made in accordance with Article XI-A of the NYS Finance Law. Payment terms are as follows.

The Department shall compensate the Contractor for approved invoices that correspond with the Contractor's submitted **Attachment B – Cost Proposal Form** and the executed Contract. Invoice approval is contingent upon the scope area and the applicable payment approach. The payment approach defines the completed scope (e.g., deliverables or milestones) within the Contract that determine the Contractor's eligibility for payment. Each SOW (e.g., PM, Transition-In, Transition-Out) has a defined invoice and payment approach.

The invoiced amount represents the SOW performed by the Contractor that is eligible for payment. Payment is contingent upon Department approval of deliverables and the Contractor's compliance with Contract

requirements, which will be reviewed through audit and validation processes as part of the Department's QA efforts.

Unspent funding from prior Contract years may be carried forward to subsequent Contract years and reallocated across scope areas and/or pricing elements. Any funds not used at Contract close must be returned to the Department.

Details of scope areas, corresponding payment approaches, invoice cadence, and related tabs in **Attachment B – Cost Proposal Form** are provided in **Table 44**.

Table 44 – Payment and Invoice Approach

ID (Tab in Cost Proposal Form)	Scope Area	Payment Approach	Invoice Cadence
E&E-PM	PM	Fixed fee – Deliverables, artifacts, and/or activities	Monthly
E&E-TI	Transition-In	Fixed fee – Deliverables, artifacts, and/or activities	Per milestone
E&E-MO	M&O	Fixed fee – Deliverables, artifacts, and/or activities (per Converged E&E System and AMS component)	Monthly
E&E-SI	Converged E&E System Implementation	Fixed fee – SDLC phase completion	Per milestone
E&E-TRN	Training	*Deliverables:* Fixed Fee – Deliverables, artifacts, and/or activities *Ongoing training:* Time and Materials (T&M)	*Deliverables:* Per milestone *Ongoing training:* Monthly
E&E-OCM	OCM	Fixed fee – Deliverables, artifacts, and/or activities	Per milestone
E&E-CBT	CBT	Fixed fee – Deliverables, artifacts, and/or activities	Monthly
E&E-MAJ	Major System Updates	Detailed in the Task Order*	Detailed in the Task Order*
E&E-EN	Enhancements	Detailed in the Task Order*	Detailed in the Task Order*
E&E-KPI OKR	KPIs and OKRs	*Deliverables:* Fixed fee – Deliverables, artifacts, and/or activities *Ongoing KPI and OKR support:* T&M	*Deliverables:* Per milestone *Ongoing KPI and OKR support:* Monthly
E&E-TO	Transition-Out	Fixed fee – Deliverables, artifacts, and/or activities	Per milestone
E&E-OF	Office Facility	Fixed fee – Deliverables, artifacts, and/or activities	Monthly
E&E-IT	IT	*Software:* Fixed Fee – Software cost + administrative fee *Print and mail center:* Print and mail center cost + Administrative Fee *Workstation equipment: Fixed fee:* Workstation cost + administrative fee	*Software:* Ad hoc *Print and mail center:* Monthly *Workstation equipment:* Ad hoc
E&E-SP	Security and Privacy	Fixed fee – Deliverables, artifacts, and/or activities	Per milestone

*For Major System Updates and Enhancements, the Contractor must follow the Department's established Task Order process (refer to **Section 5.2.8.4 – Task Order Process**).

The various payment approaches are described in **Table 45**.

Table 45 – Payment Approach Types

Payment Approach	Description	Reference
Fixed fee – Deliverables, artifacts, and/or activities	Payment is contingent upon submission and Department approval of deliverables, artifacts, and/or completed activities.	Detailed in **Section 5.8 – Deliverables** of this RFP and the OHIP MES Standards
Fixed fee – SDLC phase completion	Payment is contingent upon Department approval of SDLC milestone phases (e.g., Scope Prioritization, Iterative Design and Development, Testing, Deployment and Hypercare), and fulfillment of SDLC exit gate criteria, including required deliverables, artifacts, and/or activities for the applicable phase.	Detailed in **Section 5.2.5.3 – Solution Development Life Cycle** and **Section 5.8 – Deliverables** of this RFP and the OHIP Solution Delivery Domain Document, SDLC Standard
Fixed fee – Software + administrative fee	Payment is based on actual costs for software products. Additionally, the Contractor may add an administrative fee of up to the Administrative Fee percent within the Contractor's **Attachment B – Cost Proposal Form**.	Detailed in **Section 5.6 – Information Technology** of this RFP and the OHIP MES Standards
Fixed fee – Print and mail center + administrative fee	Payment is based on actual costs for the print and mail center. Additionally, the Contractor may add an administrative fee of up to the Administrative Fee percent within the Contractor's **Attachment B – Cost Proposal Form**.	Detailed in **Section 5.6 – Information Technology** of this RFP and the OHIP MES Standards
Fixed fee – Workstation cost	Payment is based on the fixed cost of workstation equipment within the Contractor's **Attachment B – Cost Proposal Form** and the actual purchased quantity of workstation equipment. Additionally, the Contractor may add an administrative fee of up to the Administrative Fee percent within the Contractor's **Attachment B – Cost Proposal Form**.	Detailed in **Section 5.6 – Information Technology** of this RFP
T&M	Payment is based on the number of hours spent and the hourly rate (blended or role specific as applicable).	Detailed in **Attachment B – Cost Proposal Form**.
Detailed in the Task Order	Payment will be detailed in the Task Order and approved by the Department. The payment structure may include Fixed Fee Deliverables, Fixed Fee Milestones, or T&M, based on Department preference.	Detailed in **Section 5.2.8.4 – Task Order Process** of this RFP

Completed SOW eligible for payment for a given scope area must be invoiced based on the assigned invoice cadence type. Scope areas must be invoiced at varying cadences. For additional details on the invoicing process, refer to **Section 5.10.17 – Invoicing**. Invoice cadence types are described in **Table 46**.

Table 46 – Invoice Cadence Types

Invoice Cadence	Description
Monthly	The Contractor must submit an invoice monthly, accompanied by supporting documentation such as approved deliverables, milestones, and timesheets. The Department must be invoiced within thirty (30) days following the end of the month.
Per Milestone	The Contractor must submit an invoice in accordance with the milestone defined by the payment approach. For SDLC milestones, the invoice may be submitted after completion and Department approval of the specified SDLC phase. For deliverables, artifacts, and/or activities, the invoice may

Invoice Cadence	Description
	be submitted after completion and Department approval of the required items, as detailed in **Section 5.10 – Payment**.
Ad Hoc	The Contractor must submit an invoice on an ad hoc basis as expenses are incurred for the applicable scope area.
Detailed in the Task Order	The Contractor must submit an invoice in accordance with the payment approach detailed in and approved by the Department in the Task Order.

5.10.1 Project Management Payment

The Department must review and approve all recurring PM deliverables for the Contractor to receive payment. The Department reserves the right to withhold payment if one (1) or more recurring PM deliverables are not approved. PM deliverables are detailed in **Section 5.8 – Deliverables**.

Payment for PM deliverables will be made upon Department approval of initial submissions. Monthly payments will be made for recurring PM deliverables following Department approval of all required deliverables within the applicable month, based on the prescribed deliverable frequency.

A summary of payments for PM is provided in **Table 47**.

Table 47 – PM Payments

ID #	Deliverables	Frequency
E&E-PM-01	Engagement Kick-Off Meeting/Presentation	One (1) Time
E&E-PM-02	Project Roadmap – Initial Submission	One (1) Time
E&E-PM-03	PMP – Initial Submission	One (1) Time
E&E-PM-04	IMS – Initial Submission	One (1) Time
E&E-PM-05	Contract Management Plan – Initial Submission	One (1) Time
E&E-PM-06	Deliverable Management Plan – Initial Submission	One (1) Time
E&E-PM-07	Contract Closeout Plan	One (1) Time
E&E-PM-08	Contract Closeout Documentation	One (1) Time
E&E-PM-09	Project Roadmap – Quarterly Updates	Monthly (in the month delivered)
E&E-PM-10	PMP – Quarterly Updates	Monthly (in the month delivered)
E&E-PM-11	IMS – Monthly Updates	Monthly
E&E-PM-12	Contract Management Plan – Quarterly Submission	Monthly (in the month delivered)
E&E-PM-13	Deliverable Management Plan – Quarterly Submission	Monthly (in the month delivered)
E&E-PM-14	Status Reporting (e.g., Weekly, Monthly)	Monthly

5.10.2 Transition-In Payment

In order to receive payment, the Contractor must submit Transition-In deliverables for each set of Transition-In milestones, as described in **Table 48**, for Department approval. Invoices may not be submitted, and payments will not be processed, without submission and acceptance of the required SDLC deliverables.

The Department must review and approve all Transition-In deliverables for the Contractor to receive payment. The Department reserves the right to withhold payment if one (1) or more Transition-In deliverables are not approved. The Transition-In deliverables are detailed in **Section 5.8 – Deliverables**.

A summary of payments for the Transition-In SOW is provided in **Table 48**.

Table 48 – Transition-In Payments

ID #	Deliverables, Artifacts, and Activities	Payment Percentage
E&E-TI-01	• TIMP • Transition-In Schedule • Transition-In Status Reports during initiation	Five Percent (5%)
E&E-TI-02	• Transition-In Knowledge Transfer Plan • Transition-In SA Assessment Report • Transition-In PM Plan • Transition-In M&O Plan • Transition-In DDI Plan • Transition-In Weekly Meeting Agendas, Minutes, and Status Reports* • TIMP and Transition-In Schedule updates	Twenty Percent (20%)
E&E-TI-03	• Transition-In PM, M&O, and DDI plan execution • SA Evolution Roadmap • Transition-In Weekly Status Reports • TIMP and Transition-In Schedule updates	Thirty-Five Percent (35%)
E&E-TI-04	• Transition-In Readiness Reviews • Transition-In SLAs compliance • Transition-In Weekly Status Reports • TIMP and Transition-In Schedule updates	Forty Percent (40%)

*Transition-In Weekly Status Reports must be prepared and submitted weekly during the Transition-In period for each component.

5.10.3 Maintenance and Operations Payment

The M&O period for each Converged E&E System or AMS component begins once the component is operating in production, the Department has approved all implementation milestones, and, where applicable, the Department has approved the Transition-In deliverables.

Once the M&O period begins, the Contractor must invoice the Department monthly for the applicable component. M&O payments are contingent upon the component operating in production and submission and Department approval of M&O deliverables. The Department must review and approve all recurring M&O deliverables for the Contractor to receive payment. The Department reserves the right to withhold payment if one (1) or more recurring M&O deliverables are not approved. M&O deliverables and their frequencies are detailed in **Section 5.8 – Deliverables**.

5.10.4 Converged Eligibility and Enrollment System Implementation Payment

Implementation of the Converged E&E System must be completed in accordance with **Section 5.2.5 – Design, Development, and Implementation**. The Contractor is responsible for all SDLC activities associated with implementation and delivery of Converged E&E System components. Payments will be made upon completion of each SDLC phase (e.g., Scope Prioritization, Iterative Design and Development, Testing, and Deployment and Hypercare).

The Contractor must follow the OHIP Solution Delivery Domain Document, Release Management Standard for the implementation of Converged E&E System components. Component changes must be packaged into

Releases and progress through SDLC phases. The Contractor must follow the SDLC payment approach based on progress of Releases through these phases.

To receive payment, the Contractor must submit SDLC deliverables for each SDLC phase for Department approval. Invoices may not be submitted, and payments will not be processed, without submission and acceptance of required SDLC deliverables. SDLC deliverables are detailed in **Section 5.8 – Deliverables**.

A summary of payments for the Converged E&E System Implementation SOW by SDLC phase is provided in **Table 49**.

Table 49 – Converged E&E System Implementation Payments

ID #	SDLC Phase	Deliverables	Payment Percentage
E&E-SI-01	Scope Prioritization	• Product Roadmap • Scope Prioritization Document • Requirements Management Plan • Release Management Plan • Release Plan • AI Usage Plan • DC&M Gap Analysis	Ten Percent (10%)
E&E-SI-02	Iterative Design and Development	• Iteration Planning Document • RTM • CDD • SADD • FDDs • BOM • Policy and Business Rules Implementation Plan • Business Rules Documentation • DC&M Plan • Data Quality Assessment Report • Data Migration Inventory Report • Data Mapping and Transformation Specification Document • Iteration Close Report	Twenty-Five Percent (25%)
E&E-SI-03	Testing	• TMP • Test Schedule • Test Results Report	Thirty Percent (30%)
E&E-SI-04	Deployment and Hypercare	• Deployment Plan • Deployment Procedure Review Results • Source Code • Release Implementation Completion Report • ORRs • User Engagement Survey(s) and Analysis • Hypercare Plan • Hypercare Completion Report • Post-Release Documentation • Data Archival Verification Report	Thirty-Five Percent (35%)

5.10.5 Training Payment

The Department must review and approve all training deliverables for the Contractor to receive payment. The Department reserves the right to withhold payment if one (1) or more training deliverables are not approved. Training deliverables are detailed in **Section 5.8 – Deliverables**.

Payment will be made for training deliverables with one (1)-time submissions following Department approval of the deliverable. Payment will be made for the recurring training deliverables following Department approval of all training deliverables required in a given month based on the prescribed deliverable frequency.

To support ongoing training, the Department will make payments for training based on details and payment approach included in the approved Task Order(s). Any relevant deliverables, artifacts, activities, and payment milestones must be detailed in the approved Task Order.

A summary of payments for training is provided in **Table 50**.

Table 50 – Training Payments

ID #	Deliverables, Artifacts, and Activities	Frequency
Training Deliverables		
E&E-TRN-01	User Manuals	One (1)-time
E&E-TRN-02	Training Plan	One (1)-time
E&E-TRN-03	End-User Training Materials and Artifacts	One (1)-time
E&E-TRN-04	User Manual – Updates	Monthly
E&E-TRN-05	Training Plan – Updates	Monthly
E&E-TRN-06	End-User Training Materials and Artifacts – Updates	Monthly
Ongoing Training		
E&E-TRN-07	Ongoing Training	Defined in Task Order

5.10.6 Organizational Change Management Payment

The Department must review and approve all OCM deliverables for the Contractor to receive payment. The Department reserves the right to withhold payment if one (1) or more OCM deliverables are not approved. OCM deliverables and update frequency are detailed in **Section 5.8 – Deliverables**.

Payment will be made following initial submission and Department approval of deliverables. Some deliverables require updates that do not have specific payment milestones and must be factored into the Contractor's Cost Proposal.

A summary of payments for OCM is provided in **Table 51**.

Table 51 – OCM Payments

ID #	Deliverables	Frequency
E&E-OCM-01	OCM Strategy and Master Plan	One (1) Time
E&E-OCM-02	Stakeholder Analysis and Impact Assessment Report	One (1) Time
E&E-OCM-03	Change Readiness Assessment	One (1) Time
E&E-OCM-04	Communication Strategy and Execution Matrix	One (1) Time
E&E-OCM-05	Post-Go-Live Adoption Measurement Dashboard	One (1) Time

5.10.7 Capacity-Based Team Payment

The Contractor must invoice the Department for the CBT monthly in accordance with fixed fee amounts identified in the Contractor's **Attachment B – Cost Proposal Form**. Payment is contingent on the CBT team meeting the Department's "Definition of Done," which will be defined through a framework established by the Contractor in collaboration with the Department during the Transition-In period. If the CBT completes only a subset of the "Definition of Done," the invoice will be prorated accordingly.

The focus of the CBT may be shifted to major system updates at the Department's discretion. If the CBT supports a major system update, the monthly CBT fee must be accounted for in the Task Order to prevent duplicate payments for the same staff capacity.

5.10.8 Major System Updates Payment

The Department will make payments for major system updates based on details and payment approach included in the Department-approved Task Order(s). If the CBT supports a major system update, the Task Order must account for this work to prevent duplicate invoicing for CBT efforts. Any relevant deliverables, artifacts, activities, and payment milestones must be detailed in the approved Task Order.

5.10.9 Enhancements Payment

The Department will make payments for enhancements based on the details and payment approach included in the approved Task Order(s). Any relevant deliverables, artifacts, activities, and payment milestones must be detailed in the approved Task Order.

5.10.10 Key Performance Indicators and Objectives and Key Results Payment

The Department must review and approve all KPI and OKR deliverables for the Contractor to receive payment. The Department reserves the right to withhold payment if one (1) or more KPI and OKR deliverables are not approved. KPI and OKR deliverables are detailed in **Section 5.8 – Deliverables**.

Payment will be made for one (1)-time KPI and OKR deliverables following Department approval of the deliverable. Payment will be made for recurring KPI and OKR deliverables following Department approval of all KPI and OKR deliverables within the applicable month, based on the prescribed deliverable frequency.

To support ongoing KPI and OKR activities, the Department will make payments based on details and payment approaches included in the approved Task Order(s). Any relevant deliverables, artifacts, activities, and payment milestones must be detailed in the approved Task Order.

A summary of payments for training is provided in **Table 52**.

Table 52 – KPI and OKR Payments

ID #	Deliverables, Artifacts, and Activities	Frequency
KPI and OKR Deliverables		
E&E-KPI OKR-01	KPI Framework – Initial Submission	One (1) Time
E&E-KPI OKR-02	Initial KPIs	One (1) Time
E&E-KPI OKR-03	OKR Framework – Initial Submission	One (1) Time
E&E-KPI OKR-04	KPI Framework – Annual Updates	Annually
E&E-KPI OKR-05	OKR Framework – Quarterly Updates	Quarterly

ID #	Deliverables, Artifacts, and Activities	Frequency
E&E-KPI OKR-06	OKR Summits – Quarterly	Quarterly
Ongoing KPI and OKR Support		
E&E-KPI OKR-07	Ongoing KPI and OKR Support	Defined in Task Order

5.10.11 Transition-Out Payment

Invoicing for Transition-Out deliverables must align with the fixed fee amounts identified in the Contractor's **Attachment B – Cost Proposal Form**. The Department must review and approve all Transition-Out deliverables, as defined in **Section 5.8 – Deliverables**, prior to the Contractor invoicing for payment. Invoices must not be submitted, in whole or in part, if a deliverable is not approved, associated tasks are not complete, or if the Department's QA review cannot be satisfactorily completed.

Transition-Out deliverables must be completed for each of the components of the Converged E&E System and the AMS, as defined in **Attachment B – Cost Proposal Form**.

A summary of payments for the Transition-Out SOW is provided in **Table 53**.

Table 53 – Transition-Out Payments

ID #	Deliverables, Artifacts, and Activities	Payment Percent	Frequency
E&E-TO-01	• Transition-Out Plan • Transition-Out Training and Knowledge Transfer Plan	Five Percent (5%)	One (1) time per Converged E&E System and AMS component
E&E-TO-02	• Transition-Out Training and Knowledge Transfer Sessions • Transition-Out Plan updates • Transition-Out Training and Knowledge Transfer Plan updates	Twenty Percent (20%)	One (1) time per Converged E&E System and AMS component
E&E-TO-03	• Transition-Out Knowledge Transfer Artifacts • Transition-Out Plan Updates	Thirty-Five Percent (35%)	One (1) time per Converged E&E System and AMS component
E&E-TO-04	• Transition-Out Readiness Reviews • Post-Cutover Assistance for the duration of the Post-Cutover period • Transition-Out Execution • Transition-Out SLAs compliance	Forty Percent (40%)	One (1) time per Converged E&E System and AMS component

5.10.12 Office Facility Payment

The Contractor must propose planning and build-out costs, as well as monthly operational costs by Contract year, based on the office facility requirements in **Attachment E – RFP Requirements Matrix**.

Planning and build-out payments will be made upon completion of the specified milestones and must be accompanied by the required deliverables, artifacts, and documented activities. Once the office facility is occupied, the Contractor must invoice the Department monthly for operational costs.

A summary of payments for the office facility is provided in **Table 54**.

Table 54 – Office Facility Payments

ID #	Deliverables, Artifacts, and Activities	Frequency	Number of Submissions
Facility Planning and Build-Out			
E&E-OF-01	Initiation of Office Facility Planning • Details of Proposed Location • Draft Floor Plan • Approved Requirements Specifications	One (1) Time	One (1)
E&E-OF-02	Initiation of Office Facility Build-Out • Signed Lease • Approved Floor Plan • Building Permit	One (1) Time	One (1)
E&E-OF-03	Availability of Office Facility for Use • Certificate of Occupancy • Confirmation of Desk Assignments • Facility Management Plan – Initial Submission	One (1) Time	One (1)
Operational Costs			
E&E-OF-04	Facility Operational Costs – Year One (1)	Monthly	Up to Twelve (12)*
E&E-OF-05	Facility Operational Costs – Year Two (2)	Monthly	Up to Twelve (12)*
E&E-OF-06	Facility Operational Costs – Year Three (3)	Monthly	Twelve (12)
E&E-OF-07	Facility Operational Costs – Year Four (4)	Monthly	Twelve (12)
E&E-OF-08	Facility Operational Costs – Year Five (5)	Monthly	Twelve (12)
E&E-OF-09	Facility Operational Costs – Year Six (6)	Monthly	Twelve (12)
E&E-OF-10	Facility Operational Costs – Year Seven (7)	Monthly	Twelve (12)

*The total number of monthly facility operational cost invoice submissions will depend on the timing of when the office facility is occupied by the Contractor team and Department staff. Additionally, fixed fee Facility Operational Costs for years two (2) through seven (7) must include the level of effort required to complete the annual update of the Facility Management Plan.

5.10.13 Information Technology Payment

The Department must review and approve all details associated with any request to procure hardware, software, and licensing. The Contractor and the Department must also mutually agree upon roles and responsibilities associated with procurements.

5.10.13.1 Software Licensing and Procurement

For software licensing and procurement requested by the Department, actual software costs must be invoiced to the Department. The Contractor may add an administrative fee to the invoice, up to the percent indicated in the Contractor's **Attachment B – Cost Proposal Form**. The administrative fee must be listed as a line item on the invoice.

To process payments for software licensing and procurement, the Contractor must provide, at a minimum, the following artifacts to the Department:

- Invoice with an itemized list of procured software products and quantities
- Vendor quotes
- Pricing comparison to OGS and GSA, when available
- Documentation demonstrating Department's acquisition of the software products license
- Copies of purchase agreements, including vendor agreement to OGS Terms and Conditions
- Approved Data Classification Study for products classified as cloud
- Appropriate DUAs/memoranda of understanding (MOUs)/master services agreements (MSAs), as applicable

5.10.13.2 Print and Mail Center

For the print and mail center, the Contractor must invoice the Department monthly. The Contractor must provide, at a minimum, an invoice with an itemized list of the costs associated with the print and mail center including, at a minimum, print and mail costs, postage costs, and costs broken down by program type. The Contractor may add an administrative fee to the invoice, up to the percent indicated in the Contractor's **Attachment B – Cost Proposal Form**. The administrative fee must be listed as a line item on the invoice.

5.10.13.3 Workstation Equipment

For workstation equipment, payments will be made in accordance with equipment requested by the Department. To process payments, the Contractor must provide, at a minimum, an invoice with an itemized list of provided items and quantities. The Contractor may add an administrative fee to the invoice, up to the percent indicated in the Contractor's **Attachment B – Cost Proposal Form**. The administrative fee must be listed as a line item on the invoice.

5.10.14 Security and Privacy Payment

A summary of payments for the Security and Privacy SOW is provided in **Table 55**.

Table 55 – Security and Privacy Payments

ID #	Deliverables	Frequency
E&E-SP-01	SSPP – Initial Submission	One (1) Time
E&E-SP-02	SSPP – Annual Updates	Annually
E&E-SP-03	SSPP Workbook – Initial Submission	One (1) Time
E&E-SP-04	SSPP Workbook – Quarterly Updates	Quarterly
E&E-SP-05	POA&M – Initial Submission	One (1) Time
E&E-SP-06	POA&M – Quarterly Updates	Quarterly
E&E-SP-07	ISRA – Initial Submission	One (1) Time
E&E-SP-08	ISRA – Annual Updates	Annually
E&E-SP-09	Continuous Monitoring Plan – Initial Submission	One (1) Time
E&E-SP-10	Continuous Monitoring Plan – Annual Updates	Annually
E&E-SP-11	Information Security and Privacy Compliance Audit	Annually
E&E-SP-12	Penetration Test Plan and Findings Report	Annually
E&E-SP-13	System Component Inventory	Annually

ID #	Deliverables	Frequency
E&E-SP-14	System Security and Privacy Brief	Quarterly

5.10.15 Renewal Period

If the Department elects to exercise the three (3)-year renewal period, the Contractor's rates and deliverable costs for years eight (8), nine (9), and ten (10) are subject to an annual increase or decrease equal to the lesser of three percent (3%) or the percent change in the National Consumer Price Index for All Urban Consumers (CPI-U), as published by the United States Bureau of Labor Statistics, for the twelve (12)-month period ending ninety (90) days prior to the start of each applicable Contract year. (refer to **Section 5.10.18 – Price Adjustment Clause**).

5.10.16 Performance Bond

Without additional cost to the Department, and as a material condition of the Contract, the Contractor must furnish a written commitment from a surety company certified and licensed by the Department.

The bonds required by this section must be written by companies that have an AM Best rating of "A-" or better.

The commitment must indicate that the Contractor is eligible for issuance of a performance bond in the amount of twenty percent (20%) of the Contractor's proposed base Contract value by the surety company, and that, if the Contractor is awarded the Contract, the surety company must issue the bond in that amount. The written commitment must remain valid for the duration of the proposal validity period and must cover the performance period of the Contract, including any extensions.

Notice of termination of the commitment must be provided to the Department at least ninety (90) days prior to the expiration of the commitment. In the event of termination or non-extension, the Contractor must provide a replacement written commitment with the same or more favorable terms within thirty (30) days of such notice. The form and the terms of any resulting performance bond are subject to Department review and acceptance.

Within ten (10) business days of receipt of notice of Contract approval by OSC, the Contractor must provide a draft performance bond to the Department. Failure to provide the draft performance bond within ten (10) business days may constitute grounds for termination of the Contract award for cause.

The executed performance bond must be provided to the Department within ten (10) business days of the Department's written acceptance of the draft performance bond. The Department reserves the right to extend the due date for submission of the draft or executed performance bond based on circumstances it determines to be reasonable. Failure to provide the final performance bond within the established time frame may constitute grounds for termination of the Contract award for cause.

The performance bond must entitle the Department to payment for any liability, loss, damage, or expense resulting from the Contractor's failure to fully perform Contract requirements. These requirements include, but are not limited to, the Contractor's obligation to pay liquidated damages, indemnify the Department as required under the Contract, and perform all services throughout the Contract term. Examples of failure to perform include, but are not limited to, failure to provide qualified staff, failure to comply with SLAs, failure to meet agreed-upon project deadlines, and failure to comply with functional and nonfunctional requirements.

The performance bond must provide the Department with the right to demand payment for all or any portion of the bond value to recover amounts for liabilities, losses, damages, or expenses incurred as a result of Contractor nonperformance. The performance bond must also provide that the financial institution issuing the drafts is located within NYS or supports electronic transfer of funds. Partial disbursements on the bond must not terminate the bond; instead, the remaining value must be reduced by disbursed amounts, and the bond must remain in effect.

5.10.17 Invoicing

Invoicing for payments includes the following:

- Fixed Fee – Deliverables, artifacts, and/or activities
- Fixed Fee – SDLC phase completion
- Fixed Fee – Software + administrative fee
- Fixed Fee – Print and mail center + administrative fee
- Fixed Fee – Workstation cost + administrative fee
- Detailed in the Task Order

All deliverables, artifacts, and/or completed activities must be invoiced accurately and within thirty (30) calendar days after the end of the month following the Department's approval of each applicable deliverable, artifact, and/or activity.

In the case of a scope area where payment is based on SDLC milestone phases, the invoice must be accompanied by deliverables corresponding to the completed SDLC phase, as detailed in **Section 5.10.4 – Converged Eligibility and Enrollment System Implementation Payment**.

In the case of a scope area where payment is based on time worked (e.g., hourly rates and hours), the invoice and supporting documentation must reflect the hourly rates provided by the Contractor for the relevant labor categories and SOW in **Attachment B – Cost Proposal Form**. Staff must record time using the Contractor's proposed time-tracking process, which must be used to report all staff time for Department approval. Invoices must be accompanied by the current staffing roster and timesheet records.

In the case of a scope area where payment is detailed in the Task Order, the specifics of the payment approach and payment milestones must be determined in collaboration with the Department. The Contractor must submit invoices in accordance with the applicable Task Order and the guidance provided in this section, based on SOW, payment approach, and payment milestones. The requirements of the Task Order Process are detailed in **Section 5.2.8.4 – Task Order Process**.

Fixed fee amounts must be invoiced within thirty (30) calendar days after the end of the month in which the services were provided. Any deliverables completed during the month must be submitted as supporting documentation with the invoice.

For the office facility, the Contractor must submit additional supporting documentation as detailed in **Section 5.10.12 – Office Facility Payment**.

For workstation equipment and software licensing and procurement, which are based on actual or fixed costs plus an administrative fee, the Contractor must submit an invoice with an itemized list of procured software and hardware products, quantities, actual unit cost, and total cost. For software procurement requested by the Department, actual software costs must be invoiced to the Department. For workstation equipment requested by the Department, fixed costs are defined in **Attachment B – Cost Proposal Form**. The Contractor may add an administrative fee of up to five percent (5%) to the invoice, as indicated in the Contractor's **Attachment B – Cost Proposal Form**. The administrative fee must be listed as a line item on the invoice.

Upon request, the Contractor must provide documentation that detailing the work associated with the invoice. Invoices must be accompanied by the required deliverables and supporting documentation. Invoices submitted without supporting documentation will not be processed for payment. Additional information, including, at a minimum, subcontractor invoices and timesheets, must be provided upon Department request.

The Contractor must submit accurate and complete invoices, free of errors, omissions, and duplication, for both initial and resubmitted invoices, as applicable . Payment timing and amounts may be impacted by invoice

errors, material issues, Department QA validation, and applicable service credits. An invoicing timeliness and accuracy SLA is defined in **Attachment F – SLAs**. Applicable service credits will be applied on the next invoice following an SLA failure, as described in **Attachment F – SLAs**.

The Contractor must submit invoices and/or Claims for Payment to the Department's designated payment office as follows:

Preferred Method: Email a PDF copy of the signed Claim for Payment to the Business Service Center (BSC) at AccountsPayable@ogs.ny.gov and copy the Contract Manager with a subject field as follows:

> Subject: Unit ID 3450420; Contract Number C043776

Alternate Method: Mail signed, original Claim for Payment to the following U.S. postal address:

> NYS Department of Health
> Unit ID 3450420; Contract Number C043776
> c/o NYS OGS BSC Accounts Payable
> Building 5, 5th Floor
> 1220 Washington Avenue
> Albany, NY 12226-1900

Payment for invoices and/or vouchers submitted by the Contractor must be rendered electronically unless payment by paper check is expressly authorized by the Commissioner, in the Commissioner's sole discretion, due to extenuating circumstances. Such electronic payment must be made in accordance with ordinary Department procedures and practices. The Contractor must comply with OSC procedures to authorize electronic payments. Authorization forms are available on the OSC website, by email at epayments@osc.state.ny.us, or by telephone at 518-474-6019. The Contractor acknowledges they will not receive payment on any invoices and/or vouchers submitted under this Contract if they do not comply with the OSC electronic payment procedures, except where the Commissioner has expressly authorized payment by paper check as set forth in this section.

In addition to the Electronic Payment Authorization Form, a Substitute Form W-9 must be on file with OSC, Bureau of Accounting Operations. Additional information and enrollment procedures are provided on the OSC website. Completed W-9 forms must be submitted to the following address:

> Office of the New York State Comptroller
> Bureau of Accounting Operations
> Warrant & Payment Control Unit
> 110 State Street, 9th Floor
> Albany, NY 12236

Payment of such invoices and/or vouchers by the Department must be made in accordance with Article XI-A of the NYS Finance Law.

No Department employee has the authority to request that the Contractor perform any additional work beyond the work authorized or described herein, or to incur additional expenses above the amount set forth in **Attachment B – Cost Proposal Form**.

5.10.18 Price Adjustment Clause

Pricing for hourly rates per role and fixed fee rates for years eight (8), nine (9), and ten (10) of the Contract are subject to an annual increase or decrease equal to the lesser of three percent (3%) or the percent change in the National CPI-U, All Items (CUUR0000SA0), as published by the United States Bureau of Labor Statistics, for the twelve (12)-month period ending ninety (90) days prior to the start of each applicable Contract year.

5.11 Subcontracting

Bidders may propose the use of subcontractors. Bidders must describe in their Technical Proposals which subcontractors the Bidders will use to deliver the SOW of this RFP, including a description of each subcontractor's role, responsibilities, and experience performing similar services.

The Contractor must obtain prior written approval from the Department before entering into an agreement for subcontracted services. The Contractor is solely responsible for ensuring that all requirements of this RFP are met.

All subcontracts must include provisions specifying that work performed by the subcontractor must be in accordance with the terms of the prime Contract, and that the subcontractor agrees to be bound by the confidentiality provisions set forth in the agreement between the Department and the Contractor.

The Department reserves the right to request removal of any Contractor or subcontractor staff if, in the Department's discretion, such staff are not performing in accordance with the Contract.

Any additional subcontractors not identified in the Technical and Administrative Proposals must be submitted to the Department for review and approval prior to onboarding.

Note: Subcontractors with contracts valued at or above one hundred thousand dollars ($100,000) must submit a Vendor Responsibility Questionnaire upon selection of the prime Contractor.

5.12 Contract Insurance Requirements

Before the start of work under the Contract, the Contractor must procure, at its sole cost and expense, and maintain throughout the Contract term, insurance in the types and amounts specified in **Attachment 8 – Department Agreement (Standard Contract)**, Section IV, Contract Insurance Requirements of Appendix X, and in the sections that follow.

5.13 Minority- and Woman-Owned Business Enterprise Requirements

Pursuant to NYS Executive Law Article 15-A, the Department recognizes its obligation to promote opportunities for maximum feasible participation of certified Minority-Owned Business Enterprises (MBEs) and Woman-Owned Business Enterprises (WBEs), as well as the employment of minority group members and women in the performance of Department contracts.

5.13.1 Business Participation Opportunities for Minority/Women Business Enterprises

For purposes of this RFP, the Department establishes an overall goal of thirty percent (30%) for Minority- and Woman-Owned Business Enterprise (M/WBE) participation, with fifteen percent (15%) for MBE participation and fifteen percent (15%) for WBE participation. These goals are based on the current availability of qualified MBEs and WBEs and outreach efforts to certified M/WBE firms.

The successful Bidder, upon becoming the Contractor under a Contract with the Department pursuant to this RFP, must document good faith efforts to provide meaningful participation by M/WBEs as subcontractors or suppliers in performance of the Contract, consistent with the established M/WBE participation goals. The Contractor must agree that the Department may withhold payment pending receipt of required M/WBE documentation. For guidance on how the Department evaluates "good faith efforts," refer to 5 New York Codes, Rules and Regulations (NYCRR) §142.8.

The directory of NYS-certified M/WBEs is available on the NYS Contract System website. The directory may be accessed by selecting “Search the Directory” under the “NYS Directory of Certified Firms” heading. Engagement with firms listed in the directory that provide similar products and/or services is required, and all communication efforts and responses must be documented to demonstrate the Contractor’s good faith efforts.

By submitting a proposal in response to this RFP, for contracts with a M/WBE goal as described in this section, the Bidder agrees to complete and submit a M/WBE Utilization Plan (Form #1 in **Attachment 5 – M/WBE Required Forms for RFPs or Miscellaneous Procurements**) prior to award. The Department will review the submitted plan and may issue a notice of deficiency if the plan is not accepted. If a notice of deficiency is issued, the Bidder must respond within one (1) week of receipt.

The Department may disqualify a Bidder as being non-responsive under the following circumstances:

- Failure to submit a M/WBE Utilization Plan
- Failure to submit a written remedy to a notice of deficiency
- Failure to submit a request for waiver, if applicable
- Failure to document good faith efforts to provide meaningful M/WBE participation in accordance with established goals

The Contractor must make good faith efforts to utilize any MBE or WBE identified in its M/WBE Utilization Plan during Contract performance. Requests for partial or total waiver of established goal requirements, made after Contract Award, may be submitted to the Department at any time during the Contract term but must be submitted no later than prior to the request for final payment.

The Contractor must submit a Contractor’s Quarterly M/WBE Compliance & Payment Report to the Department by the tenth (10th) day following the end of each quarter over the life of the Contract, documenting progress toward achievement of M/WBE goals.

The Contractor may be required to pay liquidated damages to the Department and may be evaluated accordingly in future Vendor Responsibility Profile reviews if either of the following conditions occurs:

- The Department determines that the Contractor is not in compliance with M/WBE requirements and the Contractor refuses to comply
- The Department determines that the Contractor has willfully and intentionally failed to meet M/WBE participation goals

Such liquidated damages shall be calculated as an amount equal to the difference between the following:

1. All sums identified for payment to M/WBEs had the Contractor achieved the contractual M/WBE goals
2. All sums actually paid to M/WBEs for work performed or materials supplied under the Contract

A NYS-certified M/WBE may request inclusion on a list of firms interested in serving as subcontractors for this procurement. The list will be publicly posted on the Department’s website for reference by the bidding community. Requests must include contact information and a copy of NYS M/WBE certification and must be submitted to OHIPcontracts@health.ny.gov before the deadline for questions as specified in **Section 2.0 – Calendar of Events**.

Nothing prohibits a M/WBE vendor from proposing as a prime Contractor.

Note: Failure to comply with these requirements may result in a finding of non-responsiveness, non-responsibility, or breach of Contract, and may lead to withholding of funds, suspension or termination of the Contract, or other enforcement actions as permitted by the Contract.

5.14 Participation Opportunities for NYS-Certified Service-Disabled Veteran-Owned Businesses

Article 17-B of the NYS Executive Law provides for increased participation in public procurement by NYS-Certified Service-Disabled Veteran-Owned Businesses (SDVOBs), thereby supporting their integration into the NYS economy. The Department recognizes the need to promote the employment of service-disabled veterans and to support opportunities for maximum feasible participation by certified SDVOBs in performance of Department contracts.

In recognition of the service and sacrifices made by service-disabled veterans, and of their economic contributions in NYS, Bidders and the Contractor are strongly encouraged to consider SDVOBs in fulfilling Contract requirements. Such participation may include roles as subcontractors, suppliers, protégés, or other partnering or supporting arrangements.

For this procurement, the Department determined that the Contract does not present sufficient opportunities to establish specific participation goals for SDVOBs as subcontractors, service providers, or suppliers to the Contractor. Nevertheless, Bidders and the Contractor are encouraged to make good faith efforts to promote and support participation by SDVOBs in the provision of services and materials under the Contract. The directory of NYS-certified SDVOBs is provided on the OGS Division of Service-Disabled Veterans' Business Development website.

Bidders are encouraged to contact the OGS Division of Service-Disabled Veteran's Business Development at 518-474-2015 or VeteransDevelopment@ogs.ny.gov to discuss approaches for maximizing SDVOB participation under the Contract.

5.15 Limitation of Liability

Except as otherwise provided in the Indemnification Provision of the Contract, the limit of liability must be as follows:

- The Contractor's liability for any claim, loss, or liability arising from or relating to the products and services provided, whether based on default, breach of Contract, warranty, negligence, misrepresentation, or otherwise, must not exceed direct damages in the greater of the following amounts:
    - An amount equal to two (2) times the original Contract value, exclusive of renewals, for the products and services, or portions thereof, forming the basis of the Department's claim.
    - Two million five hundred thousand dollars ($2,500,000).
- The Department may retain amounts due to the Contractor as necessary to satisfy any claim for damages, costs, or similar expenses asserted against the Department, unless the Contractor demonstrates to the Department's satisfaction, at the time the claim is presented, that sufficient funds are reserved through a bond or insurance coverage to cover such damages and costs.
- Notwithstanding the foregoing, neither the Contractor nor the Department shall be liable for any consequential, indirect, or special damages of any kind arising directly or indirectly from performance under the Contract, including, without limitation, damages resulting from loss of use or loss of profit by the Department, the Contractor, or third parties.

6.0 ADMINISTRATIVE INFORMATION

The following administrative information will apply to this RFP. Failure to comply fully with this information may result in disqualification of the Bidder's proposal.

6.1 Restricted Period

"Restricted period" means the period of time commencing with the earliest written notice, advertisement, or solicitation of an RFP, Invitation for Bids (IFB), or solicitation of proposals, or any other method for soliciting a response from Bidders, intending to result in a procurement Contract with the Department and ending with the final Contract award and approval by the Department and, where applicable, final Contract approval by the OSC.

Pursuant to State Finance Law §§ 139-j and 139-k, the Department identifies designated contacts on the face page of this RFP to whom all communications attempting to influence this procurement must be made.

This prohibition applies to any oral, written, or electronic communication under circumstances where a reasonable person would infer that the communication was intended to influence this procurement. Violation of any of the requirements described in this section may be grounds for a determination that the Bidder is non-responsive and therefore ineligible for this Contract award. Two (2) violations within four (4) years of the rules against impermissible contacts during the "restricted period" may result in the violator being debarred from participating in the Department's procurements for a period of four (4) years.

6.2 Questions

Potential Bidders may submit written questions and requests for clarification pertaining to this RFP between the issuance of this RFP and the Deadline for Submission of Written Questions specified in **Section 2.0 – Calendar of Events**. All written questions and requests for clarification of this RFP should cite the relevant RFP, including the RFP number and title, and the section and paragraph number of this RFP or of the Attachment to this RFP to which the question relates, where applicable. Bidders must submit any written questions and requests for clarification pertaining to this RFP via email to OHIPcontracts@health.ny.gov no later than the Deadline for Submission of Written Questions specified in **Section 2.0 – Calendar of Events**. Questions received after the deadline **may not** be answered.

If a potential Bidder discovers any ambiguity, conflict, discrepancy, omission, or other apparent error in this RFP, the Bidder shall immediately notify the Department of such error in writing at OHIPcontracts@health.ny.gov and request that the Department clarify or modify the Terms of this RFP. If, prior to the deadline for the Submission of Bids, a Bidder fails to notify the Department of a known error or an error that reasonably should have been known, the Bidder shall assume the risk of bidding notwithstanding such apparent ambiguity, conflict, discrepancy, omission, or other error. If awarded the Contract pursuant to the terms of this RFP, the Bidder/Contractor shall not be entitled to an amendment to the terms of the Contract to correct or clarify any such ambiguity, conflict, discrepancy, omission, or other error nor to any additional compensation by reason of the error or its correction.

6.3 Right to Modify Request for Proposals

The Department reserves the right to modify any part of this RFP, including, at a minimum, the date and time by which proposals must be submitted and received by the Department, at any time prior to the Deadline for Submission of Proposals specified in **Section 2.0 – Calendar of Events**. Modifications to this RFP shall be made by issuance of amendments and/or addenda.

Prior to the Deadline for Submission of Proposals, any such clarifications or modifications as deemed necessary by the Department will be posted to the Department's website.

If a prospective Bidder discovers any ambiguity, conflict, discrepancy, omission, or other error in this RFP, the Bidder shall immediately notify the Department of such error in writing at OHIPcontracts@health.ny.gov and request clarification or modification of the RFP.

If, prior to the Deadline for Submission of Proposals, a Bidder fails to notify the Department of a known error or an error that reasonably should have been known, the Bidder shall assume the risk of proposing. If awarded the Contract, the Bidder shall not be entitled to additional compensation by reason of the error or its correction.

6.4 Department Reserved Rights

The Department reserves the right to:

- Reject any or all proposals received in response to the RFP.
- Withdraw the RFP at any time, at the Department's sole discretion.
- Make an award under the RFP in whole or in part.
- Disqualify any Bidder whose conduct and/or proposal fails to conform to the requirements of the RFP.
- Seek clarifications and revisions of proposals.
- Use proposal information obtained through site visits, management interviews, and the Department's investigation of a Bidder's qualifications, experience, ability, or financial standing, as well as any material or information submitted by the Bidder in response to the Department's request for clarifying information in the course of evaluation and/or selection under this RFP.
- Prior to the bid opening, amend the RFP specifications to correct errors or oversights or supply additional information as it becomes available.
- Prior to the bid opening, direct Bidders to submit proposal modifications addressing subsequent RFP amendments.
- Change any of the scheduled dates.
- Eliminate any mandatory, nonmaterial specifications that cannot be complied with by all the prospective Bidders.
- Waive any requirements that are not material.
- Negotiate with the successful Bidder within the scope of the RFP in the Department's best interests.
- Conduct Contract negotiations with the next responsible Bidder, should the Department be unsuccessful in negotiating with the selected Bidder.
- Utilize any and all ideas submitted in the proposals received.
- Require that every offer must be firm and not revocable for a period of three hundred sixty-five (365) days from the bid opening to the extent not inconsistent with Section 2-205 of the Uniform Commercial Code. Subsequent to such three hundred sixty-five (365) days, any proposal is subject to withdrawal as communicated in writing and signed by the Bidder.
- Require clarification at any time during the procurement process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of a Bidder's proposal and/or to determine a Bidder's compliance with the requirements of the solicitation.
- Modify the SOW during Contract negotiations and throughout the term of the Contract. This includes the ability to remove certain components of the scope and/or transition scope to a contractor, contractors, or the Department as deemed necessary by the Department. Corresponding to any removal of scope, the payment terms will be adjusted appropriately. The Contractor agrees to negotiate in good faith to establish revised payment terms that reflect the reduced SOW. The Department will provide written notice to the Contractor detailing any changes to the SOW. Such notice will include a description of the components being removed and any relevant timeline adjustments. Within thirty (30) days of receiving the notification, the Contractor must provide a revised proposal, including a new pricing structure that accommodates the changes in the scope. Final adjustments will be mutually agreed upon and documented as an amendment to the Contract, subject to the review and approval of OSC. In the event scope is transitioned to a contractor, contractors, or the Department, the Contractor must follow the requirements and activities outlined in **Section 5.2.11 – Transition-Out**. Any modifications will require a contract amendment which is subject to review and approval by OSC.

- Reduce the scope of the Contract at any time. The Contractor will be responsible for implementation (if necessary) and M&O of these components until the Department approves a reduction in scope. For additional details about each component, refer to **Section 3.3.2.1 – Medicaid Eligibility and Client Management System Cloud-Native Architecture** and **Section 3.3.2.2 – Medicaid Eligibility and Client Management System Technical Architecture**. The Contractor must support the transition of these components to another vendor or the Department, and it is expected that the Converged E&E System will integrate with these components after the transition. Refer to **Section 5.2.11 – Transition-Out** for additional details. Any reductions in scope will require a contract amendment which is subject to review and approval by OSC.

6.5 Debriefing

Pursuant to Section 163(9)(c) of the State Finance Law, once an award has been made, any unsuccessful Bidder may request a debriefing regarding the reasons that the proposal or bid submitted by the Bidder was not selected for award. The debriefing will be limited solely to the Bidder's own Bid and will not include any discussion of other bids. Requests for a debriefing must be made within fifteen (15) days of release of the written or electronic notice by the Department that the Bid submitted by the Bidder was not selected for award. Requests should be submitted in writing to a designated contact identified in the award/non-award letter.

6.6 Protest Procedures

In the event an unsuccessful Bidder wishes to protest the award resulting from this RFP, the protesting Bidder must follow the protest procedures established by the OSC. These procedures are provided in Chapter XI, Section 17 of the OSC's Guide to Financial Operations.

6.7 Freedom of Information Law

All Bids may be disclosed or used by the Department to the extent permitted by law. The Department may disclose a Bid to any person for the purpose of assisting in evaluating the Bid or for any other lawful purpose. All Bids will become Department records, which will be available to the public in accordance with the NYS Freedom of Information Law (FOIL). **Any portion of the Bid that a Bidder believes constitutes proprietary information entitled to confidential handling, as an exception to FOIL, must be clearly and specifically designated in the Bid as specified in Section 7.1.2 – Freedom of Information Law – Proposal Redactions.** If the Department agrees with the proprietary claim, the designated portion of the Bidder's Bid will be withheld from public disclosure. Blanket assertions of proprietary material will not be accepted, and failure to specifically designate proprietary material may be deemed a waiver of any right to confidential handling of such material.

6.8 Piggybacking

New York State Finance Law section 163(10)(e) (also refer to https://ogs.ny.gov/procurement/piggybacking-using-other-existing-contracts-0) allows the Commissioner of the NYS OGS to consent to the use of the Contract entered into pursuant to this RFP by other NYS Agencies, and other authorized purchasers, subject to conditions and the Contractor's consent.

6.9 Ownership

This section establishes the framework for proprietary rights and operational control of the Converged E&E System and AMS, detailing the specific stipulations for intellectual property, Department ownership, and CMS ownership.

6.9.1 Intellectual Property

Any work product created pursuant to this RFP and the Contract awarded hereunder, as well as any subcontract, will become the sole and exclusive property of the Department, which shall have all rights of ownership and authorship in such work product.

6.9.2 Ownership

The Department of Health and Human Services (HHS) has a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, or otherwise use and authorize others to use, for Federal Government purposes, software, modifications to the software, and documentation that is designed, developed, installed, or enhanced as per 42 CFR § 433.112(b)(6).All software, procedures, files, data, and other documentation, collectively, “System Artifacts”, along with the source code, must be accessible to the Department. The Contractor will deliver any System Artifacts to the Department’s determined location and must be maintained on Department-owned and managed systems and platforms.

The Department of Health has sole and exclusive ownership of all software, hardware and assets required to fully operate the Converged E&E System and AMS, including, but not limited to :

- All source and object code (including all historical versions), specialized or modified operating systems, utility software, and proprietary programs created, enhanced, or maintained under this Contract.
- All web, application, and data services, business rules, scripts, transaction management, and database synchronization software required to operate the Converged E&E System and AMS across all environments.
- All data files and environment configurations, including all historical and current versions.
- Comprehensive system, program, operational, and user manuals describing the most current version/state of the Converged E&E System and AMS.
- All training programs, materials, and operational plans developed for Department staff, agents, or designated representatives.
- All works of authorship, materials, information, work products, deliverables, and intellectual property created by the Contractor or subcontractors as a result of services provided under this Contract. The Contractor must ensure that all intellectual property rights and ownership of the source code, including any modifications or improvements, will remain the exclusive property of the Department.

All computer source and executable programs and all documentation of the installed system enhancements and improvements may not be copied or removed by the Contractor or any employee of the Contractor without the express written permission of the Department.

Proprietary software proposed for use as an enhancement or within a functional area of the Converged E&E System and AMS may require the Contractor to give the Department an irrevocable right to use the software as part of the Converged E&E System and AMS in perpetuity. Exemptions will be considered by the Department if the proprietary product is proposed with this right in place and is defined with sufficient specificity in the proposal that the Department can determine whether to fully accept it as the desired solution. The Contractor must provide sufficient information regarding the objectives and specifications of any proprietary software to allow its functions to be duplicated by other commercial or public domain products.

Specialized software that is not covered under a public domain license that will be integrated into the Converged E&E System and AMS must be identified as to its commercial source. Licenses to such commercial software must be established such that the license may revert to the Department or Successor Contractor at the end of the Contract. If this assignment is not permitted by the licenser, the Contractor must obtain a licensed copy of the commercial software in the Department’s and/or a Successor Contractor’s name.

6.9.3 Centers for Medicare & Medicaid Services Ownership

As a prerequisite for receiving FFP, the Department shall retain full ownership rights over any software or modifications developed with such funds. As per 42 CFR § 433.112(b)(6) and 42 CFR § 495.360, HHS has a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, or otherwise use and authorize others to use, for Federal Government purposes, software, modifications to software, and documentation that is designed, developed, installed, or enhanced with FFP. This federal license does not apply to proprietary, off-the-shelf software and documentation that is licensed or sold to the public.

6.10 Terms of Artificial Intelligence Purchases

The following sections address the terms for AI purchases.

6.10.1 New York State Artificial Intelligence Policy

For further information on NYS's AI policy, please refer to the latest version of the NYS ITS Policy No: NYS-P24-001 "Acceptable Use of Artificial Intelligence Technologies," any predecessor policies, and the OHIP AI Security and Privacy Baseline.

6.10.2 Notice

The Contractor must provide the Department with clear and unambiguous notice of any use or implementation of AI. AI-specific terms must be explicitly defined and presented separately from general terms and conditions to ensure clarity and transparency. If new AI terms are introduced, the Contractor must clearly describe them to the Department.

The Contractor agrees to provide written notice to the Department at least ninety (90) days prior to proposed implementation or use of any AI technology in its software, hardware, or in any interactions with the Department, including communications with Department employees, contractors, consultants, public users, or data subjects. Prior to Contractor's implementation or use of any AI technology, such implementation or use must be approved in writing by the Department per section 6.10.3 of this Agreement. This notice must include a detailed description of the AI technology, its intended purpose and uses, its connections to the Department, when the AI will be deployed, whether the AI is open-source, and how it will be implemented. The Department reserves the right to request additional documentation related to AI prior to or during its use. The Department reserves the right to disallow AI usage for any reason.

6.10.3 Approval for Artificial Intelligence Usage

Any AI tools not integral to the system must be disabled by default. Implementation or use of AI must be approved in writing by the Department. If, after review, the Department deems a specific AI tool or use of an AI tool unacceptable, the Contractor must either terminate its use and replace the functionality with a non-AI solution or propose an alternative AI tool for Department review and approval. Any replacement or alternative must be provided at no cost to the Department. The Department reserves the right to disallow AI usage for any reason. If the Department deems the AI tool, alternative AI tool, and/or non-AI solution unacceptable, the Department reserves the right to terminate the contract at no cost.

6.10.4 Compliance

The implementation and use of AI must comply with all applicable policies and standards set forth by NYS, as well as local, State, and federal laws. This includes compliance with regulations related to AI usage, security, privacy, and other laws and standards governing technologies that employ AI. The Department may require the Contractor to provide reports necessary for third-party audits. These reports should detail how the AI system uses personally identifiable, confidential, or sensitive information to ensure compliance with applicable laws, rules, regulations, notices, and policies.

If the solution incorporates AI, the Contractor may be asked to provide a recent independent audit report or AI impact assessment as defined by NIST. The Contractor may also be asked to provide information detailing the explainability of the AI solution.

6.10.5 Artificial Intelligence Training Data Usage Prohibition

The Contractor must not use confidential information or data acquired through work with the Department or in the provision of services to train AI systems without prior written approval from the information owner. Any such use must align with existing data usage rights, the training must be used solely in support of the Department's use of AI, and the Contractor must ensure that data privacy and security are maintained throughout the process. The Department has sole discretion to grant or not grant any such approval for any reason. The Department reserves the right to not grant or disallow any AI use, such as for training purposes, for any reason.

6.10.6 Transcription Tools

AI transcription capabilities must be disabled by default unless specifically requested by the Department. Users must be informed of any loss of functionality or usability resulting from the disabling of transcription tools. Transcription capabilities include the ability to transcribe, summarize, or assess any meetings, discussions, or proceedings.

6.10.7 Data Ownership

Data derived from AI outputs is owned by the Department. All prompts, uploaded content, and outputs created using any AI tools shall remain the exclusive property of the Department. The Contractor must not use prompts, uploaded content, or outputs to train, retrain, tune, or improve any AI model. The Contractor must not store, retain, or repurpose the Department's data for any purpose other than providing the contracted services. The Contractor must not share or distribute the Department's data with any third parties.

7.0 PROPOSAL CONTENT

The following sections include the format and information to be provided by each Bidder. Bidders responding to this RFP must satisfy all requirements stated in this RFP. All Bidders are requested to submit complete Administrative and Technical Proposals and are required to submit a complete Cost Proposal. A proposal that is incomplete in any material respect may be rejected.

To expedite review of the proposals, Bidders are requested to submit proposals in separate Administrative, Technical, and Cost packages inclusive of all materials as summarized in **Attachment A – Proposal Document Checklist**. This separation of information will facilitate the review of the material requested. No information beyond that specifically requested is required, and Bidders are requested to keep their submissions to the shortest length consistent with making a complete presentation of qualifications. Evaluations of the Administrative, Technical, and Cost Proposals received in response to this RFP will be

conducted separately. Bidders are therefore cautioned not to include any Cost Proposal information in the Technical Proposal documents.

The Department will not be responsible for expenses incurred in preparing and submitting the Administrative, Technical, or Cost Proposals.

7.1 Administrative Proposal

The Administrative Proposal should contain all items listed below. An Administrative Proposal that is incomplete in any material respect may be eliminated from consideration. The information requested should be provided in the prescribed format. Responses that do not follow the prescribed format may be eliminated from consideration. All responses to the RFP may be subject to verification for accuracy. Please provide the forms in the same order in which they are requested.

7.1.1 Bidder's Disclosure of Prior Non-Responsibility Determinations

Submit a completed and signed **Attachment 1 – Bidder's Disclosure of Prior Non-Responsibility Determinations.**

7.1.2 Freedom of Information Law – Proposal Redactions

Bidders should clearly and specifically identify any portion of their proposal that a Bidder believes constitutes proprietary information entitled to confidential handling as an exception to FOIL. Refer to **Section 6.7 – Freedom of Information Law**.

7.1.3 Vendor Responsibility Questionnaire

Complete, certify, and file a New York State Vendor Responsibility Questionnaire. The Department recommends that bidders file the required Vendor Responsibility Questionnaire online via the New York State VendRep System. To enroll in and use the New York State VendRep System, see the VendRep System Instructions at http://www.osc.state.ny.us/vendrep/index.htm or go directly to the VendRep System online at www.osc.state.ny.us/vendrep.

Bidders should provide their NYS Vendor Identification Number when enrolling. To request assignment of a Vendor ID or for VendRep System assistance, contact the OSC Help Desk at 866-370-4672 or 518-408-4672 or by email at ciohelpdesk@osc.state.ny.us.

Bidders opting to complete and submit a paper questionnaire can obtain the appropriate questionnaire from the VendRep website, www.osc.state.ny.us/vendrep, or may contact the Office of the State Comptroller's Help Desk for a copy of the paper form. Bidders should complete and submit **Attachment 3 – Vendor Responsibility Attestation**.

7.1.4 Vendor Assurance of No Conflict of Interest or Detrimental Effect

Submit **Attachment 4 – Vendor Assurance of No Conflict of Interest or Detrimental Effect**, which includes information regarding the Bidder, members, shareholders, parents, affiliates and subcontractors. **Attachment 4 – Vendor Assurance of No Conflict of Interest or Detrimental Effect** must be signed by an individual authorized to bind the Bidder contractually.

7.1.5 Minority- and Woman-Owned Business Enterprise Forms

Submit completed Form #1 and/or Form #2, Form #4 and Form #5 as directed in **Attachment 5 – M/WBE Required Forms for RFPs or Miscellaneous Procurements**.

7.1.6 Encouraging Use of New York Businesses in Contract Performance

Submit **Attachment 6 – Encouraging Use of New York State Businesses in Contract Performance** to indicate the NY businesses the Bidder will use in the performance of the Contract.

7.1.7 Bidder's Certified Statements

Complete, sign, and submit **Attachment 7 – Bidder's Certified Statements**, which includes information regarding the Bidder. **Attachment 7 – Bidder's Certified Statements** must be signed by an individual authorized to bind the Bidder contractually. Please identify the title or position that the signer holds with the Bidder.

The Bidder should provide proof of financial stability by submitting at least one (1) of the following:

- Current Dun & Bradstreet report
- Two (2) most recent audited financial statements and the most recent unaudited quarterly financial statement
- Most recent income tax return

The Bidder should disclose any active litigation, judgements, or regulatory fines. The Bidder should disclose any material security breaches or cyber incidents that occurred within the last five (5) years. If any such incident occurred, the Bidder should provide an RCA and remediation report.

7.1.8 References

The Bidder is required to provide three (3) references from prior clients using **Attachment 9 – References** for work or services performed of a similar size and scope as the SOW described in this RFP. For each reference, the Bidder should provide the client's firm name, address, contact information, including name, telephone number, and email address. If any contract was terminated early, the Bidder should explain the circumstances (cause or convenience).

The Department reserves the right to seek additional information from references regarding subjects that may include, at a minimum, the quality of services provided, anticipated ability to perform the services required in this RFP, and responsiveness of the Bidder to the client's needs during the project.

If subcontracting firm(s) are proposed as part of the Bidder's proposal, the Department reserves the right to request references prior to approving the use of the subcontractor. References should come from clients who can confirm the subcontractor's experience and qualifications to perform the type of services required under this Contract.

7.1.9 Diversity Practices Questionnaire

The Department has determined, pursuant to NYS Executive Law Article 15-A, that the assessment of the diversity practices of respondents to this procurement is practical, feasible, and appropriate. Accordingly, respondents to this procurement should include as part of their response to this procurement **Attachment 10 – Diversity Practices Questionnaire**. Responses will be formally evaluated and scored.

7.1.10 Executive Order 177 Prohibiting Contracts with Entities that Support Discrimination

The Bidder should complete and submit **Attachment 11 – EO177 Certification** certifying that it does not have institutional policies or practices that fail to address the harassment and discrimination of individuals on the basis of their age, race, creed, color, national origin, sex, sexual orientation, gender identity, disability, marital status, military status, or other protected status under the NYS Human Rights Law.

7.1.11 Executive Order 16 Prohibiting Contracting with Businesses Conducting Business in Russia

Bidders should complete and submit **Attachment 12 – EO16 Certification** certifying the status of their business operations in Russia, if any, pursuant to Executive Order 16.

7.1.12 State Finance Law Consultant Disclosure Provisions

In accordance with NYS Finance Law Section 163(4)(g), State agencies must require all contractors, including subcontractors, that provide consulting services for State purposes pursuant to a Contract to submit an annual employment report for each such Contract.

The successful Bidder for procurements involving consultant services should complete the NYS Consultant Services Contractor's Planned Employment Form (AC3271-S, Form A) to be eligible for a Contract.

The successful Bidder should also agree to complete the NYS Consultant Services Contractor's Annual Employment Report Form (AC3272-S, Form B) for each State fiscal year included in the resulting Contract. This report must be submitted annually to the Department, OSC, and Department of Civil Service.

The successful Bidder must submit NYS Consultant Services Form A and Form B:

- **Form A** – http://www.osc.state.ny.us/agencies/forms/ac3271s.doc
- **Form B** – http://www.osc.state.ny.us/agencies/forms/ac3272s.doc

7.1.13 Sales and Compensating Use Tax Certification (Tax Law, § 5-a)

Section 5-a of the Tax Law, as amended, effective April 26, 2006, requires certain contractors awarded state contracts for commodities, services, and technology valued at more than one hundred thousand dollars ($100,000) to certify to the DTF that they are registered to collect NYS and local sales and compensating use taxes. The law applies to contracts where the total amount of such contractor's sales delivered into NYS are in excess of three hundred thousand dollars ($300,000) for the four (4) quarterly periods immediately preceding the quarterly period in which the certification is made, and with respect to any affiliates and subcontractors whose sales delivered into NYS exceeded three hundred thousand dollars ($300,000) for the four (4) quarterly periods immediately preceding the quarterly period in which the certification is made.

This law imposes upon certain contractors the obligation to certify whether or not the contractor, its affiliates, and its subcontractors are required to register to collect state sales and compensating use tax and contractors must certify to DTF that each affiliate and subcontractor exceeding such sales threshold is registered with DTF to collect NYS and local sales and compensating use taxes. The law prohibits OSC, or other approving agencies, from approving a Contract awarded to an offeror complying with the registration requirements but who is not so registered in accordance with the law.

The successful Bidder for this procurement must file a properly completed Contractor Certification to Covered Agency Form (Form ST-220-CA) with the Department and a Contractor Certification Form (Form ST-220-TD)

with the DTF. These requirements must be met before the Contract may take effect. Further information, as well as the forms, is available in NYS DTF Publication 223, Questions and Answers Concerning Tax Law Section 5-a (Contractor, Affiliate, and Subcontractor Sales and Compensating Use Tax Certification).

The successful Bidder must submit these forms, available through the following links:

- **ST-220 CA** – http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf
- **ST-220 TD** – http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf

7.1.14 Gender-Based Violence and the Workplace Certification

New York State Finance Law §139-M requires bidders on competitive state procurements to certify that they have a written policy addressing gender-based violence and the workplace and that such policy meets the minimum requirements outlined on **Attachment 14 – Gender-Based Violence and the Workplace Certification**. Bidders should review, sign, date and include as part of their submission **Attachment 14 – Gender-Based Violence and the Workplace Certification**.

7.2 Technical Proposal

The purpose of the Technical Proposal is to demonstrate the qualifications, competence, and capacity of the Bidder to perform the services contained in this RFP. The Technical Proposal should demonstrate the qualifications of the Bidder and the staff to be assigned to provide services related to the services included in this RFP.

A Technical Proposal that is incomplete in any material respect may be eliminated from consideration. The following outlines the information requested to be provided by Bidders. The information requested should be provided in the prescribed format. All responses to the RFP may be subject to verification for accuracy.

While additional data may be presented, the following should be included. Please provide the information in the same order in which it is requested. Your proposal should contain sufficient information to assure the Department of its accuracy. Failure to follow these instructions may result in disqualification.

Pricing information contained in the Cost Proposal cannot be included in the Technical Proposal documents.

7.2.1 Title Page

Submit a Title Page providing the following:

- RFP title and number
- Bidder’s name and address
- Name, address, telephone number, and email address of the Bidder’s contact person
- Date of the proposal

7.2.2 Table of Contents

The Table of Contents should clearly identify all material (by section and page number) included in the Bidder’s proposal.

7.2.3 Documentation of Bidder's Eligibility Responsive to Section 4.0 of Request for Proposals

The Bidder must be able to comply with all the requirements stated in **Section 4.0 – Bidder Qualifications to Propose** of this RFP. The Bidder must submit documentation that provides sufficient evidence of complying with the criteria defined in **Section 4.0 – Bidder Qualifications to Propose**. This documentation must be provided using **Attachment D – Bidder's Qualifications** to demonstrate how the Bidder complies with the minimum qualifications to propose.

The Department will accept proposals only from Bidders with experience that comply with the minimum qualifications while serving as a prime contractor. Proposals that do not comply with the minimum qualifications in **Section 4.1 – Minimum Qualifications** will **not** be evaluated.

Bidders should describe their experience, if any, for the preferred requirements described in **Section 4.2 – Preferred Qualifications**. Bidders should use the **Attachment D – Bidder's Qualifications** for preferred requirements.

7.2.4 Technical Proposal Narrative

The Bidder should provide a narrative description of their approach and relevant experience to complying with the requirements of this RFP. The Bidder's Technical Proposal should provide satisfactory evidence of their ability to comply with, and expressly respond to, each element listed in the subsections that follow. When describing experience, the Bidder should include how that experience will be beneficial to the scope of this RFP described in **Section 5.0 – Scope of Work**.

7.2.4.1 Cover Letter

The Bidder should provide a Cover Letter, limited to no more than five (5) pages, with a description that incorporates responses to the following narrative components.

#	Narrative Components
1	The Bidder should provide an executive-level overview that describes how their unique experience, and any subcontractor partnerships, will help them provide the staffing and services described in this RFP over the Contract term.
2	The Bidder should describe their understanding of the scope, goals, and objectives for the M&O of the MECM System and AMS, DDI of the Converged E&E System, and subsequent M&O of the Converged E&E System and how they will achieve the scope, goals, and objectives.

7.2.4.2 Office of Health Insurance Programs Medicaid Enterprise System Standards

The Bidder should provide a response, limited to no more than twenty (20) pages, to the following OHIP MES Standards narrative components.

#	Narrative Components
1	The Bidder should describe their approach to complying with and enhancing the quality and effectiveness of project outcomes with the OHIP MES Standards set forth. The Bidder should provide examples from past projects in which prescribed standards were successfully adopted to improve quality, performance, and value.
2	The Bidder should describe their approach to integrating the OHIP Preferred Operational Tools into their workflow. If the Bidder proposes the use of tools not included in the OHIP Preferred Operational Tools list, the Bidder should list the proposed tool or tools and explain the rationale for using them.

#	Narrative Components
3	The Bidder should identify any proposed deviations from the OHIP MES Standards. For each proposed deviation, the Bidder should specify the applicable Domain Document, Standard, and Requirement and provide the rationale for the deviation and a proposed mitigation approach for the Department's consideration. If no deviations are proposed, the Bidder should clearly state that they can adhere to all applicable OHIP MES Standards.

7.2.4.3 Project Management

The Bidder should provide a response, limited to no more than twenty (20) pages, to the following PM narrative components.

#	Narrative Components
1	The Bidder should describe, in detail, their approach to meeting the PM requirements. The description should include the Bidder's approach to developing the following deliverables: a. Engagement Kick-Off meeting and presentation b. Converged E&E System and AMS Project Roadmap c. Converged E&E System and AMS PMP d. Deliverable Management Plan e. Contract Management Plan f. IMS g. Weekly Status Reports h. Monthly Status Reports i. Contract Closeout Plan and Contract Closeout Documentation
2	The Bidder should describe their strategy for conducting engagement planning sessions, aligning goals and priorities with the RFP SOW, and gathering stakeholder input, including input from users of the Converged E&E System and the AMS input. The Bidder should also describe their approach to facilitating planning sessions and developing the Converged E&E System and AMS Project Roadmap, including the chosen SDLC methodology.
3	The Bidder should describe how they will integrate PM standards, methods, and approach into the existing MECM System and AMS PMP to reflect the chosen SDLC methodology.
4	The Bidder should describe how they will maintain, update, and modify the IMS to support the chosen SDLC methodology and to accommodate SOW changes throughout the Contract term.
5	The Bidder should describe, in detail, their strategy for completing daily, weekly, and monthly status reports (refer to **Section 5.2.2.8 – Status Reporting**) and for meeting related SLAs (refer to **Attachment F – SLAs**). The Bidder should also describe their approach to preparing status reports tailored to an executive audience, including external stakeholders.
6	The Bidder should describe their approach to collaborating with the Department, its staff, and other Department contractors to develop the deliverables identified in **Section 5.8 – Deliverables**.

7.2.4.4 Transition-In

The Bidder should provide a response, limited to no more than twenty (20) pages, to the following Transition-In narrative components.

#	Narrative Components
1	The Bidder should: a. Describe, in detail, their approach to meeting the Transition-In requirements. b. Describe their approach to developing the following deliverables: i. Transition-In Knowledge Transfer Plan ii. TIMP

#	Narrative Components
	iii. Transition-In Schedule iv. Transition-In SA Assessment Report v. PM Transition-In Plan vi. DDI Transition-In Plan vii. M&O Transition-In Plan viii. SA Evolution Roadmap ix. Transition-In Weekly Meeting Agendas, Minutes, and Status Reports x. Transition-In Plan Execution xi. Transition-In Readiness Reviews
2	The Bidder should describe the Transition-In roles and responsibilities for staff, including, at a minimum, the Contractor, the Incumbent Contractor, the Department, and other applicable third parties.
3	The Bidder should describe their approach, in detail, for meeting, measuring, and reporting on the Transition-In SLAs.
4	The Bidder should describe their experience conducting similar Transition-In activities, detailing the following: a. Overview of the transitioned system(s) b. Description of the timeline(s) in which the transition(s) took place c. Outcomes of the transition(s) and benefits to the client(s) d. Description of any risks and issues encountered during the transition(s) and how they were mitigated based on client needs and priorities e. Description of lessons learned from the transition(s) The Bidder should limit their response to no more than three (3) distinct projects.
5	The Bidder should describe their process for assessing the current state of the MECM System and the AMS, which will ultimately transition into the Converged E&E System under the Bidder's oversight. The Bidder should also describe how they will identify areas needing functional or technical improvement or optimization.

7.2.4.5 Maintenance and Operations

The Bidder should provide a response, limited to no more than one hundred (100) pages, to the following M&O narrative components.

#	Narrative Components
1	The Bidder should describe their approach to developing the M&O deliverables described in each of the following M&O scope areas: • M&O Reporting • Security, Vulnerability, and Privacy • BC/DR • Configuration Management • Escalation Management • Technology Operations • Business Support Services • Financial Operations
2	The Bidder should describe their experience maintaining and operating systems of similar complexity and scale as the Converged E&E System and the AMS. The Bidder should describe the outcomes of maintaining and operating these systems, including benefits delivered to the client(s). The Bidder should limit the description to no more than three (3) projects.
3	The Bidder should describe their experience adopting documents and deliverables developed by other organizations, updating those materials to new standards, and maintaining them over time with an end goal of transitioning responsibility out at the conclusion of the Contract. The Bidder should describe the outcomes of these

#	Narrative Components
	efforts and the benefits delivered to the client. The Bidder should limit the description to no more than three (3) projects.
4	The Bidder should describe, based on the information provided in this RFP and, if attended, the Systems Demo and Review, the challenges they anticipate in assuming responsibility for M&O of the current MECM System and the AMS, which will ultimately transition into the Converged E&E System and the AMS under the Bidder's oversight. The Bidder should also describe their approach to addressing these anticipated challenges, including, at a minimum, any additional roles, resources, or software components that would benefit the Department overall.
5	The Bidder should describe their process for assessing continuity of operations, identifying potential operational risks, and proposing mitigation strategies for the Converged E&E System and the AMS.
6	The Bidder should describe their experience with assuming M&O for systems built by another vendor for a state or federal agency within the last twenty (20) years. The Bidder should limit the description to no more than three (3) projects. For each project, the Bidder should describe the: a. Industry, size, and complexity of the system, including the number of users, number of daily transactions, and age of the system, and how it compares to the Converged E&E System. b. Outcomes of the project and the benefits delivered to the client. c. Lessons learned from the experience and how those lessons can assist in assuming M&O responsibility for the Converged E&E System.
7	The Bidder should describe their experience successfully implementing and maintaining technology in a multi-cloud environment that includes AWS GovCloud and GCP. The Bidder should limit the description to no more than three (3) projects. For each project, the Bidder should: a. Provide a summary of the project, indicate whether the project supported a Medicaid Program, and describe the associated outcomes and benefits delivered to the client. b. Describe challenges associated with implementing and maintaining the technology and how those challenges were overcome. c. Describe lessons learned from the experience. d. Describe their experience with FinOps of a cloud platform, including outcomes and benefits to the client, addressing, at a minimum, the following: i. Strategies for budgeting, forecasting, and cost optimization in cloud operations ii. Financial management practices aligned with cloud resources and services iii. Operational guidelines for efficient cloud resource utilization and allocation iv. Tools and methodologies used to monitor, report on, and analyze cloud spending v. Risk management strategies related to cloud financial operations vi. Best practices for aligning cloud financial management with organizational goals and compliance requirements
8	The Bidder should describe their experience integrating with and utilizing Verato MDM. The Bidder should limit the description to no more than three (3) projects. For each project, the Bidder should: a. Provide a summary of the project, including outcomes and benefits delivered to the client. b. Describe challenges encountered during integration and how those challenges were overcome. c. Describe lessons learned from the experience.
9	The Bidder should describe their experience integrating with and utilizing Snowflake and Tableau as a platform for data analytics (dashboards, ad hoc reporting, and advanced analytics). The Bidder should limit the description to no more than three (3) projects. For each project, the Bidder should: a. Provide a summary of the project, including outcomes and benefits delivered to the client. b. Describe challenges encountered during integration and how those challenges were overcome. c. Describe lessons learned from the experience.
10	The Bidder should describe their experience successfully implementing and maintaining microservices on existing production systems. The Bidder should limit the description to no more than three (3) projects. For each project, the Bidder should: a. Provide a summary of the project, including outcomes and benefits delivered to the client.

#	Narrative Components
	b. Describe challenges associated with implementing and maintaining the technology and how those challenges were overcome. c. Describe lessons learned from the experience.
11	The Bidder should describe their experience successfully developing, deploying, implementing, and maintaining Docker containers and container orchestration using Kubernetes. The Bidder should limit the description to no more than three (3) projects. For each project, the Bidder should: a. Provide a summary of the project, including outcomes and benefits delivered to the client. b. Describe challenges associated with implementing and maintaining the technology and how those challenges were overcome. c. Describe lessons learned from the experience.
12	The Bidder should describe their experience successfully implementing and maintaining Informatica Intelligent Cloud Services (IICS). The Bidder should limit the description to no more than three (3) projects. For each project, the Bidder should: a. Provide a summary of the project, including outcomes and benefits delivered to the client. b. Describe challenges associated with implementing and maintaining the technology and how those challenges were overcome. c. Describe lessons learned from the experience.
13	The Bidder should describe their strategy for handling capacity planning and scaling of operations within AWS infrastructure and GCP to support the Converged E&E System under varying demand levels, including, at a minimum, the following: a. Seasonal and policy-driven fluctuations in E&E b. Expected changes associated with the Converged E&E System implementation
14	The Bidder should describe how they will manage AWS and GCP resources efficiently while meeting performance and security obligations and applying financial operations best practices.
15	The Bidder should describe their approach to establishing and operating their UX Monitoring and Feedback function.
16	The Bidder should describe, in detail, their approach to meeting any Transition-In requirements that have not been addressed in the previous narrative components.

7.2.4.6 Design, Development, and Implementation

The Bidder should provide a response to the following DDI narrative components.

A. Implementation Approach

The Bidder should provide a response, limited to no more than fifteen (15) pages, to the following implementation approach narrative components.

#	Narrative Components
1	The Bidder should describe their proposed implementation schedule. The description should account for the milestones, phases, risks, and constraints described in **Section 5.2.5.1 – Implementation Approach**. The Bidder should also describe contingency strategies for addressing schedule compression.
2	The Bidder should describe specific mitigation strategies for each risk described in **Section 5.2.5.1 – Implementation Approach**.
3	The Bidder should describe their approach to designing, developing, implementing, and documenting integrations between the Converged E&E System and external systems.
4	The Bidder should describe their resource plan required to achieve the proposed implementation schedule.

#	Narrative Components
5	The Bidder should describe the Department resource roles and responsibilities the Bidder anticipates are necessary to achieve the implementation schedule.

B. Business Requirements

The Bidder should provide a response, limited to no more than twenty-five (25) pages, to the following business requirements narrative components.

#	Narrative Components
1	The Bidder should describe how they will introduce improvements to modernize the Converged E&E System portals, including accessibility and branding updates, without disrupting the daily activities of applicants and business partners.
2	The Bidder should describe their design approach for the Employer Portal to support SBM eligibility determinations.
3	The Bidder should describe their design approach for the Issuer Portal to support functions such as plan certification and rate management. The Bidder should also describe how they will support seamless access to and use of historical data by health plans (issuers) during and after implementation of the new portal.
4	The Bidder should describe potential use cases for a mobile application, such as document upload functionality and access to plan information.
5	The Bidder should describe their technical approach to developing and integrating omni-channel capabilities, including how they will establish a unified architecture that maintains user data, context, and conversation history across both inherited and newly built channels during and after the transition.
6	The Bidder should describe their approach to designing a user-friendly, step-by-step application process that dynamically adapts to an applicant's specific circumstances based on responses provided during the guided application flow.
7	The Bidder should describe their approach to eliciting, documenting, and managing business rules for complex health and human services programs, including how they will support clear traceability from initial policy definition through implemented system rules.
8	The Bidder should describe their methodology for mapping new business requirements to the inherited system. The Bidder should also describe how they will prevent newly introduced requirements from adversely affecting the accuracy of existing, unchanged business rules.
9	The Bidder should describe their approach to reduce manual data entry, minimizing cognitive load, and streamlining decision-making for workers processing complex, multi-program households.
10	The Bidder should describe their methodology for adapting the inherited MECM SA so that frequent future policy changes can be accommodated without requiring costly customizations to the core system.

C. Solution Development Life Cycle

The Bidder should provide a response, limited to no more than thirty (30) pages, to the following SDLC narrative components.

#	Narrative Components
1	The Bidder should describe their experience with hybrid SDLC and iterative development methodologies used to develop functionality quickly and incrementally while regularly receiving and implementing client feedback. The Bidder should: a. Provide examples from projects similar in scope and complexity to the Converged E&E System and the AMS that they have successfully delivered. b. Describe their knowledge and experience deploying system functionality early and often, including the use of early working prototypes.

#	Narrative Components
	c. Describe their experience implementing solution exploration, or similar exploratory testing approaches that allow users to interact with the solution as it is being built, and how those approaches contributed to the development and Deployment of desired solution functionality. d. Describe the outcomes of these implementations, including whether they were successful and the benefits realized by the client.
2	The Bidder should describe their experience adopting SDLC standards and processes from a client that differed from the Bidder's typical SDLC methodology. The Bidder should also describe the outcomes of these efforts, the benefits to the client, and how they modified their standards or processes to meet client needs.
3	The Bidder should describe challenges and lessons learned from applying Hybrid Iterative Development SDLC methodologies while working with government agencies, including the resolution approach and resulting outcomes.
4	The Bidder should describe their approach to streamlining DDI tasks and explain how that approach minimizes administrative burden and improves efficient use of time by business stakeholders.
5	The Bidder should describe how they will implement HCD principles within their DDI efforts, including how end user input regarding functionality needs and goals is incorporated into the iterative design process to ensure that new features meet user needs and goals.
6	The Bidder should describe the details of up to three (3) past projects in which the Bidder successfully incorporated HCD principles and approaches. This description should include the following: a. Problem or objective presented to the Bidder b. Approach taken by the Bidder to address the problem or objective c. HCD and UX impacts of the project d. Measurable KPIs used to demonstrate project success e. Lessons learned, including what worked well, what did not work well and why, and what the Bidder would do differently
7	The Bidder should explain their process for ensuring accessibility for users with disabilities in compliance with federal requirements under Section 508 of the Rehabilitation Act.
8	The Bidder should explain their approach to identifying and involving diverse and underserved public health populations and jurisdictions in the development process, such as through focus groups, user testing, or other strategies, and how that approach supports health equity goals and principles.
9	The Bidder should describe their approach to using tools specified in the OHIP Infrastructure & Operations Domain Document, Preferred Operational Tools Standard, such as Jira. The Bidder should also describe their experience with those tools and any additional tools used to track project tasks, task durations, and task resourcing for the Hybrid Iterative Development SDLC methodology used for this implementation.
10	The Bidder should describe, in detail, their approach to meeting the requirements management criteria described in **Section 5.2.5.3 – Solution Development Life Cycle**. The Bidder should also describe their approach to documenting and managing requirements in alignment with a Hybrid Iterative Development SDLC methodology.
11	The Bidder should describe, in detail, their approach to requirements gathering, analysis, and traceability, including: a. The steps they use to conduct a thorough requirements analysis. b. How they identify and engage Department stakeholders as active participants in the requirements process, including conducting research with users of the Converged E&E System and the AMS.
12	The Bidder should describe their experience with requirements management on projects of similar size and complexity and should limit the description to no more than three (3) projects. For each project, the Bidder should describe: a. The specific challenges encountered in managing requirements, including the tools used, common pitfalls experienced, and strategies employed to mitigate or overcome those challenges. b. Lessons learned from the experience.

#	Narrative Components
13	The Bidder should describe their process for conducting incremental development, including practices such as daily short meetings, RTM refinement meetings, iteration planning meetings, iteration demonstrations, and retrospective meetings.
14	The Bidder should describe their strategy for conducting iterations, including their approach to estimating and prioritizing use cases and tasks and their method for stakeholder collaboration.

D. Data Conversion and Migration

The Bidder should provide a response, limited to no more than twenty-five (25) pages, to the following DC&M narrative components.

#	Narrative Components
1	The Bidder should describe their approach to facilitating the DC&M Task Force and defining the roles and responsibilities for the Contractor, the Department, and stakeholder staff.
2	The Bidder should describe their approach to DC&M, including how they will meet the requirements described in **Section 5.2.5.4.D – Data Conversion and Migration Approach**. The Bidder should specifically describe how they will reconcile differences between the NYSOH System and MECM System in handling historical changes and data uniqueness. The Bidder should also describe how they will leverage the existing DC&M processes described in the RFP as a starting point for the Converged E&E System DC&M effort.
3	The Bidder should describe their DC&M experience for no more than three (3) projects of similar size, scope, and complexity to the Converged E&E System. For each project, the Bidder should describe: a. The approaches used for data assessment, cleansing, complex data transformation, and migration. b. The measures implemented to maintain data integrity and the approach used to validate migrated data against source datasets. c. The specific challenges encountered, such as data quality, legacy system constraints, and stakeholder management, and how they were mitigated. d. Lessons learned and how they will be applied to the Converged E&E System DC&M effort.

E. Training

The Bidder should provide a response, limited to no more than fifteen (15) pages, to the following training narrative components.

#	Narrative Components
1	The Bidder should describe their approach to developing and delivering the training program, including any training methodologies they propose to use, such as the Analysis, Design, Development, Implementation, and Evaluation (ADDIE) model or the Successive Approximations Model (SAM).
2	The Bidder should describe how they will involve training staff, including staff from the Customer Service Center vendor and the external training vendor, throughout the SDLC, beginning with the requirements and design phases.
3	The Bidder should describe their approach to facilitating walkthroughs, system demonstrations, and T3 sessions to support the Department, the Customer Service Center vendor, and the external training vendor in acquiring system knowledge and understanding system functionality.
4	The Bidder should describe their experience serving as the vendor responsible for developing and delivering end-user training for a comparable engagement. The Bidder should also describe the outcomes of those efforts, including lessons learned and benefits realized by the client.
5	The Bidder should submit up to two (2) example user manuals delivered to a client as part of a prior project.

F. Deployment

The Bidder should provide a response, limited to no more than fifteen (15) pages, to the following Deployment narrative components.

#	Narrative Components
1	The Bidder should: a. Describe, in detail, their approach to meeting the Deployment requirements. b. Describe their approach to developing the following deliverables: i. Deployment Plan ii. Deployment Procedure Review Results
2	The Bidder should describe their approach to effectively managing and executing the Deployment Plan, including their approach to managing and executing beta Releases.
3	The Bidder should describe their approach to conducting Deployment Procedure Reviews in preparation for each Release, Deployment, and Go-Live.
4	The Bidder should describe any tools they propose to use to support Deployment activities.
5	The Bidder should describe Deployment roles and responsibilities for all participants involved in the Deployment process, including, at a minimum, roles and responsibilities for the Contractor's team and Department stakeholders, inclusive of their vendors.

G. Hypercare

The Bidder should provide a response, limited to no more than fifteen (15) pages, to the following Hypercare narrative components.

#	Narrative Components
1	The Bidder should describe, in detail, their approach to meeting the Hypercare requirements in alignment with the incident severity levels and business criticality levels related to defects defined in **Attachment F –SLAs**. The Bidder's description should include the following: a. Description of post-Deployment activities conducted during each Deployment's Hypercare phase b. Hypercare processes, management of Hypercare functions, and the Contractor's responsibilities, including, at a minimum, the following: i. Process for reporting and resolving all critical (severity level one [1]) and high (severity level two [2]) defects during the Hypercare phase ii. Process for resolving any remaining severity level one (1) and level two (2) defects outstanding at the conclusion of the Hypercare phase iii. Process for reporting and resolving all medium (severity level three [3]) and low (severity level four [4]) defects during the Hypercare phase iv. Process for resolving any remaining severity level three (3) and level four (4) defects outstanding at the conclusion of the Hypercare phase
2	The Bidder should describe their proposed strategy for assisting the Department with solution modifications, work processes, and related activities during the Hypercare phase, including identification of the staff roles that will be utilized.
3	The Bidder should describe their approach to developing the following deliverables: a. Hypercare Plan b. Hypercare Completion Report
4	The Bidder should describe any tools they propose to use to support Hypercare activities.

#	Narrative Components
5	The Bidder should describe Hypercare roles and responsibilities for all participants involved in the Hypercare process, including, at a minimum, roles and responsibilities for the Contractor's team and Department stakeholders, inclusive of their vendors.

7.2.4.7 System Testing

The Bidder should provide a response, limited to no more than fifty (50) pages, to the following system testing narrative components.

#	Narrative Components
1	The Bidder should describe their approach for developing the TMP, which will serve as a guide detailing the approach, objectives, and scope of all testing activities. This document should provide a clear strategy for executing the tests to ensure each Release meets its requirements and quality standards.
2	The Bidder should describe their overall testing strategy and approach for ensuring quality in each Release.
3	The Bidder should describe their approach to executing interface testing in a collaborative and coordinated manner including their approach to coordinating with the Department's other vendors and State and federal agencies.
4	The Bidder should describe their approach to testing and managing test results within the chosen SDLC methodology, as described in **Section 5.2.5.3 – Solution Development Life Cycle**.
5	The Bidder should describe the testing methodologies (including time travel testing), tools, and technologies they use for functional and nonfunctional testing.
6	The Bidder should describe how they will use the testing tools identified in **Section 3.3.2.3 – Technology Stack** (e.g., Selenium, Burp Tool Suite LoadRunner, Jira, and Xray) as well as any additional tools they plan to use for all test types and provide a description for each additional tool. In addition, the Bidder should describe their experience using each tool on past engagements.
7	The Bidder should describe their approach to reporting defects and their process for assessing, prioritizing, and resolving defects.
8	The Bidder should describe their approach to defect tracking and resolution during later testing phases in which the defects should have been detected earlier as well as post-Deployment.
9	The Bidder should describe their plan for conducting performance testing, including how performance requirements are established in coordination with the Department. The Bidder should provide examples of metrics and benchmarks used on previous projects.
10	The Bidder should describe their approach to stress testing and how they identify and manage system breakpoints, including system load capacity and simultaneous user volume.
11	The Bidder should describe their approach to simulating expected user loads during load testing and identify the tools used for this purpose.
12	The Bidder should describe their methods used to test system scalability.
13	The Bidder should describe their procedures for identifying and mitigating security vulnerabilities.
14	The Bidder should describe their approach to conducting accessibility and usability testing to support end-user experience and compliance with applicable requirements.
15	The Bidder should describe their approach to reliability testing to support consistent system performance.
16	The Bidder should describe their approach to testing system availability and uptime.
17	The Bidder should describe their process for recovery testing to confirm the system can recover from failures.
18	The Bidder should describe how they will configure testing environments to model the Production Environment when interacting with mock interface points within the system.
19	The Bidder should describe how they will incorporate HCD principles into testing activities.

#	Narrative Components
20	The Bidder should describe the roles and responsibilities of all participants involved in the testing process, including, at a minimum, roles and responsibilities for the Contractor's team and Department stakeholders, inclusive of the Department's vendors and State and federal agencies.
21	The Bidder should describe their experience with test automation, including how they have increased the level of automation over the course of a project. The Bidder should also describe their approach for achieving maximum test coverage through automation throughout system development.

7.2.4.8 Organizational Change Management

The Bidder should provide a response, limited to no more than thirty (30) pages, to the following OCM narrative components.

#	Narrative Components
1	The Bidder should describe no more than two (2) projects in which they successfully led OCM for a comparable technology and process transformation within the E&E domain for an organization of similar size and complexity.
2	The Bidder should describe their approach to OCM for the Converged E&E System, including a timeline of activities aligned with technical implementation. The Bidder should also identify the OCM methodology or framework they propose to use and why it is well-suited for the Department and this project.
3	The Bidder should describe how they will measure change readiness for the Converged E&E System. The description should include the KPIs, activities, and tools they use to assess business readiness for transition.
4	The Bidder should provide examples of how they have implemented, tracked, and reported OCM metrics for prior implementations.

7.2.4.9 Major System Updates, Capacity-Based Team, and Enhancements

The Bidder should provide a response, limited to no more than twenty-five (25) pages, to the following major system updates, CBT, and enhancements narrative components.

#	Narrative Components
1	The Bidder should describe no more than three (3) use cases in which they delivered improvements or updates to Medicaid and SBE systems in alignment with approved scope, schedule, resource mix, and budget. The Bidder should describe the outcomes of these efforts and the benefits provided to the client.
2	The Bidder should describe how they will support the major system update process described in **Section 5.2.8.1 – Major System Updates**. The Bidder should include their approach to the following: a. Identifying potential major system updates for the Converged E&E System and AMS b. Determining an optimal resource mix, including roles and estimated effort, for delivering the proposed major system update scope c. Collaborating with the Department to determine the SDLC methodology and payment milestones for delivering the proposed major system update scope
3	The Bidder should describe how they will deploy the CBT described in **Section 5.2.8.2 – Capacity-Based Team**. The Bidder should include their approach to the following: a. Defining their proposed CBT structure, if different from that described in **Section 5.2.8.2 – Capacity-Based Team**, and the rationale for any proposed changes b. Working with the Department to prioritize the backlog and determine work assignments for the CBT in advance of each monthly iteration c. Retaining team members and building domain expertise within the CBT
4	The Bidder should describe their previous experience working in a backlog-driven delivery environment. The description should include challenges encountered and how the Bidder would mitigate those challenges in support of the Converged E&E System and AMS project.

#	Narrative Components
5	The Bidder should describe how they will support the enhancement process described in **Section 5.2.8.3 – Enhancements**. The Bidder should include their approach to the following: a. Identifying potential enhancements for the Converged E&E System and the AMS b. Determining an optimal resource mix, including roles and estimated effort, for delivering the proposed enhancement scope c. Collaborating with the Department to determine the SDLC methodology and payment milestones for delivering the proposed enhancement scope
6	The Bidder should describe their method for developing new capabilities that require the introduction of new software products or technical components.
7	The Bidder should propose a method for minimizing disruption to ongoing operations while implementing changes to the Converged E&E System and the AMS.
8	Because SDLC methodologies other than the Hybrid Iterative Development approach may be applicable to DDI work following initial implementation, the Bidder should describe their approach to adapting across different SDLC methodologies. The response should address test planning, test execution, documentation, and the reporting of defects and issues identified during testing. The Bidder should also identify any differences in tooling, such as Jira or other tools, or resources usage across these methodologies.
9	The Bidder should identify and describe any risks, concerns, or cautionary considerations that the Department should take into account for this project.

7.2.4.10 Artificial Intelligence Usage

The Bidder should provide a response, limited to no more than twenty (20) pages, to the following AI usage narrative components.

#	Narrative Components
1	The Bidder should describe how their proposed implementation approach and methodology leverage AI to enhance development and testing timelines, platform efficiency, and reduce overall cost.
2	The Bidder should describe specific examples of AI and ML technologies they will bring to innovate and enhance the Converged E&E System and the AMS. The Bidder should address how these technologies can enhance interoperability and scalability, reduce operational costs, and add business value to the Department.
3	The Bidder should describe emerging technologies (e.g., AI, ML, modern UX, predictive workflows, fraud detection and prevention) that they anticipate will address complex business challenges and deliver additional efficiencies, innovations, and cost reductions to the Converged E&E System and the AMS over time.
4	The Bidder should provide their AI security and privacy test plans, test reports, and third-party risk assessment reports for Department evaluation and review. This information should support the Department's understanding of the Contractor's overall AI security posture.
5	The Bidder should describe how their proposed implementation approach and methodology aligns with and will remain compliant with the State's AI guidelines and policy framework in **Section 6.10.1 – New York State Artificial Intelligence Policy**.

7.2.4.11 Centers for Medicare & Medicaid Services Certification and Compliance

The Bidder should provide a response, limited to no more than thirty (30) pages, to the following CMS certification and compliance narrative components.

#	Narrative Components
1	The Bidder should describe their experience supporting MES certification for an E&E system within a state Medicaid program. The response should include specific examples from up to three (3) past projects and describe

#	Narrative Components
	how the Bidder supported the state in aligning the E&E system with CMS requirements. The Bidder should also describe the strategies they implemented to comply with CMS streamlined modular certification and to achieve the required outcomes and conditions.
2	The Bidder should describe their experience supporting the achievement of an ATO for Medicaid E&E systems and SBEs. The response should include examples from up to three (3) past projects and describe the strategies they implemented to comply with CMS requirements and to achieve the required outcomes and conditions.
3	The Bidder should describe their experience assisting states with the Exchange Blueprint Process. The response should include examples from up to three (3) past projects and describe the strategies implemented and outcomes achieved.
4	The Bidder should describe their strategy for supporting the SMC, ATO, and Exchange Blueprint processes while working with the Department, the TAS Contractor, and other vendors, as required.
5	The Bidder should describe their strategy for developing and implementing the Certification Plan, including a description of the proposed content.
6	The Bidder should describe their approach to developing and delivering the Readiness Assessment and supporting the ORR.
7	The Bidder should describe how they will support the tracking and measurement of CMS-required and state-defined outcomes, metrics, conditions, and KPIs.
8	The Bidder should describe how they will ensure that MITA technical and data management standards are implemented.
9	The Bidder should describe their approach to maintaining certification artifacts, including, at a minimum, outcomes, metrics, conditions, software, data, process documentation, and testing documentation.
10	The Bidder should describe their strategy for monitoring MES certification guidance and notifying the Department of any changes to certification requirements or conditions.
11	The Bidder should describe their approach for providing certification and compliance training to Department staff, Department vendors, and newly added vendors participating in the SMC, ATO, and Exchange Blueprint processes.

7.2.4.12 Transition-Out

The Bidder should provide a response, limited to no more than twenty (20) pages, to the following Transition-Out narrative components.

#	Narrative Components
1	The Bidder should describe their experience conducting Transition-Out activities for similar projects. The response should be limited to no more than three (3) projects. For each project, the Bidder should provide: a. An overview of the transitioned system(s), including scope and scale (e.g., users, sites, applications). b. A description of the transition timeline, including key milestones, duration, and exit and acceptance criteria. c. The outcome of the transition and the benefits to the client(s). d. A description of risks and issues encountered during the transitions and the mitigation approaches applied based on client needs. e. Lessons learned from the transitions and how those lessons inform the Bidder's proposed Transition-Out Plan and post-Transition support approach.
2	The Bidder should describe, in detail, their approach to meeting the Transition-Out requirements in **Section 5.2.11 – Transition-Out**. The response should include key milestones; exit and acceptance criteria; a Transition-Out Readiness Checklist with sign-off gates; the governance structure and decision cadence; the risk and issue management approach; scope-gap analysis; KPI baselines with reporting cadence; and the tools and templates to be used.
3	The Bidder should describe their approach to developing the following deliverables:

#	Narrative Components
	a. Transition-Out Plan b. Transition-Out Schedule c. Transition-Out Training and Knowledge Transfer Sessions and Demonstrations d. Transition-Out Knowledge Transfer Artifacts e. Transition-Out Weekly Status Reports f. Transition-Out Monthly Status Meetings g. Transition-Out Reviews h. Post-Transition Cutover Assistance
4	The Bidder should describe the Transition-Out roles and responsibilities for all participants involved in the Transition-Out process, including, at a minimum, descriptions of roles and responsibilities for the Contractor's team, the Department, and any Successor Contractor. The Bidder should explain how these roles and responsibilities will operate in practice during the Transition-Out period.
5	The Bidder should describe, in detail, their approach to meeting the Transition-Out SLAs identified in **Attachment F – SLAs**.

7.2.4.13 Staffing

The Bidder should provide a response, limited to no more than twenty-five (25) pages, to the following staffing narrative components.

#	Narrative Components
1	The Bidder should describe, in detail, their approach to complying with the requirements in **Section 5.3 – Staffing** and **Attachment E – RFP Requirements Matrix**.
2	The Bidder should provide an organizational chart that identifies staff titles responsible for fulfilling the tasks and deliverables described in **Section 5.3 – Staffing**, details lines of communication, and demonstrates how each staff member supports each phase of the Converged E&E System and AMS project. The Bidder should describe how Key and Support Staff will be organized for this Contract.
3	The Bidder should describe how they will work with subcontractors to fulfill staffing roles and requirements described in **Section 5.0 – Scope of Work**. The Bidder should provide a high-level overview of proposed subcontractors, including their areas of experience and the portion of the SOW they will support.
4	The Bidder should describe how they will identify, recruit, and retain Key Staff and Support Staff.
5	The Bidder should describe how they will verify that proposed staff understand their roles and responsibilities related to the SOW described in this RFP.
6	The Bidder should describe their approach to staff development and training, including subcontractors, to support performance of assigned functions.
7	The Bidder should describe how they will maintain continuity of staff knowledge of the project and associated tasks in the event of staff replacement, including their approach to staff-to-staff knowledge transfer.
8	The Bidder should describe how they will maintain optimal staffing levels throughout the Contract term and designate backup or replacement staff as needed.

7.2.4.14 Office Facility

The Bidder should provide a response, limited to no more than five (5) pages, to the following office facility narrative components.

#	Narrative Components
1	The Bidder should describe their approach to identifying and maintaining a suitable office facility location, including parking accommodations.

#	Narrative Components
2	The Bidder should describe their approach to complying with the office facility requirements for the Converged E&E System, including their approach to facility design, build-out, and long-term ongoing M&O, as well as how they will collaborate with Department staff throughout the facility design and build process.
3	The Bidder should provide a list of equipment they expect to provision to meet the office facility requirements and should describe how that equipment will be tracked and maintained.

7.2.4.15 Reporting

The Bidder should provide a response, limited to no more than thirty (30) pages, to the following reporting narrative components.

#	Narrative Components
1	The Bidder should describe how they will establish and maintain a Master Report Catalog aligned to the RFP sections, including ownership, cadence, routing, and change control.
2	The Bidder should describe their process for modifying report content, frequency, and format at the Department's request, including impact assessment and stakeholder communication.
3	The Bidder should describe how they will maintain and update the KPI Framework throughout the Contract term.
4	The Bidder should describe how they will implement the performance management and KPIs described in **Section 5.5.1 – Key Performance Indicators and Objectives and Key Results**, including the following: a. Step 1 – Joint KPI Development Process b. Step 2 – Phased Implementation and Evolution c. Step 3 – Shared Ownership of Data Collection
5	The Bidder should describe how they will maintain and update the OKR Framework throughout the Contract term.
6	The Bidder should describe their approach to conducting and coordinating quarterly in-person OKR Summits.
7	The Bidder should describe their experience implementing KPIs on previous projects and how those KPIs supported continuous improvement over the course of the project.
8	The Bidder should describe their experience implementing OKRs on previous projects and how those OKRs supported continuous improvement over the course of the project.

7.2.4.16 Information Technology

The Bidder should provide a response, limited to no more than fifteen (15) pages, to the following IT narrative components.

#	Narrative Components
1	The Bidder should describe, in detail, their approach to complying with the IT requirements in **Section 5.6 – Information Technology** and **Attachment E – RFP Requirements Matrix** related to the procurement and management of software licenses, including: a. Identifying future software needs and tracking license utilization and expiration dates. b. Managing processes for timely purchase, renewal, and installation of software products.
2	The Bidder should describe their approach to reducing software license costs while maintaining Department requirements.

7.2.4.17 Security and Privacy

The Bidder should provide a response, limited to no more than twenty-five (25) pages, to the following security and privacy narrative components.

#	Narrative Components
1	The Bidder should describe, in detail, their approach to meeting the security and privacy requirements described in **Section 5.7 – Security and Privacy**, as well as those defined in the following documents: a. OHIP Security, Privacy, and Compliance Domain Document, Security and Privacy Compliance Standard b. OHIP API Secure Development Baseline Standard c. OHIP AI Security and Privacy Baseline Standard
2	The Bidder should describe, in detail, their prior experience managing and operating AWS and GCP FedRAMP-authorized cloud-based systems with a Moderate impact level under NIST 800-53. The Bidder should describe the outcomes of these efforts and the benefits delivered to the client.
3	The Bidder should describe their process for monitoring updates to FedRAMP policies and requirements and for incorporating those updates into ongoing security operations.
4	The Bidder should describe how they will comply with NYS ITS security policies and standards, including, at a minimum, those identified in NYS-P03-002.

7.2.4.18 Service Level Agreements

The Bidder should provide a response, limited to no more than twenty-five (25) pages, to the following SLA narrative components.

#	Narrative Components
1	The Bidder should describe, in detail, their approach to meeting, measuring, and reporting on the M&O SLAs defined in **Attachment F –SLAs**. The Bidder should also describe their preferred approach to SLA compliance, as well as issue resolution and arbitration.
2	The Bidder should describe, in detail, their recommended or required changes to the current MECM System and the AMS Physical Architecture to meet the SLAs of this RFP. The Bidder should acknowledge that their review of the MECM System and the AMS Physical Architecture is limited to information provided through the Systems Demo and Review.
3	The Bidder should describe their experience and approach to improving system performance to restore compliance with SLAs following a period of sustained deficiencies on past engagements. The description should be limited to no more than three (3) projects within the last ten (10) years and should involve large-scale, mission-critical transactional systems (e.g., Medicaid E&E, SBEs, health and human services systems, or comparable state or federal systems). For each project, the Bidder should describe the: a. System and SLAs involved, including the business domain, client type, system size and complexity, and specific SLAs not being met (e.g., availability, response time, batch processing windows, or incident resolution time). b. Nature and extent of the deficiencies, including duration of noncompliance, baseline performance metrics prior to remediation, and impacts to the client and end users. c. Remediation approach, including methods used to diagnose root causes and the technical, operational, and organizational changes implemented. d. Outcomes and benefits delivered to the client, including post-remediation performance metrics, time required to restore compliance, and any ongoing monitoring or continuous improvement practices. e. Lessons learned from each engagement and how those lessons will be applied to meeting and sustaining M&O SLAs for the Converged E&E System.
4	The Bidder should describe their approach to managing, complying with, measuring, and reporting on SLAs. The Bidder should also describe their approach to implementing corrective actions to address defects and missed SLA performance targets.

#	Narrative Components
5	The Bidder should describe the tools, techniques, and technologies they propose to use to support SLA measurement and reporting.
6	The Bidder should describe, in detail, their approach to delivering printing, mailing, and language services in support of the Converged E&E System, including how these services will be measured, monitored, and reported against applicable SLAs. The Bidder should identify any subcontractors proposed to perform these services and describe how subcontractor performance will be managed and held to the SLAs of this RFP. The Bidder should describe their: a. Approach to notice and correspondence generation and fulfillment, including print production, inserting accuracy and quality control, address validation and standardization, postal optimization, and the handling, tracking, and reprocessing of returned and undeliverable mail. b. Approach to supporting multiple delivery channels and member communication preferences, including electronic delivery, online notice retrieval, and the accurate synchronization of preference data across channels. c. Capacity to scale to peak and surge volumes (e.g., annual renewals, mass mailings resulting from policy or eligibility changes, and disaster or emergency-related communications), including facility redundancy, business continuity, and disaster recovery for print and mail operations. d. Approach to translation, interpretation, and alternative-format services, including how materials and notices will be produced in the State's required threshold languages, how oral interpretation is provided, how alternative formats (e.g., large print, Braille, audio) are supported, and how compliance with Title VI, Section 1557, ADA, Section 508, and applicable plain language and readability standards will be achieved and verified. e. Quality assurance approach for both print/mail and language services, including accuracy validation, translation review and certification, error detection and correction, turnaround time management, and the safeguarding of PII/PHI throughout production, storage, and transport.

7.2.4.19 Request for Proposal Requirements Matrix

To assist evaluators in locating proposal responses to requirements, the Bidder should complete **Attachment E – RFP Requirements Matrix**. The Bidder should respond “Yes” or “No” in column C (or column D for Business Requirements) in response to the question, “Does the Bidder comply with this requirement (Yes or No)?” If the Bidder’s response to the question is “No,” the Bidder should provide a detailed explanation for alternative solutions, workarounds, or compensatory measures to achieve the same outcome and comply with the requirement’s intent in the corresponding cell in column D (or column E for Business Requirements).

All requirements in the RFP Requirements Matrix are mandatory and required. Failure to comply with any of the requirements may result in a lower score in the Bidder’s technical evaluation.

7.2.4.20 Staffing Attachments

The Bidder should complete **Attachment C.01 – Key Staff Proposal Form** for their proposed Key Staff to fulfill the requirements of this RFP. Bidders should include all Key Staff in their proposals and provide a resume for each proposed Key Staff member.

The Bidder has the option to complete **Attachment C.02 – Support Staff Proposal Form** for any identified Support Staff members they wish to propose.

7.3 Cost Proposal

The Bidder must submit a completed and signed **Attachment B – Cost Proposal Form.** The Cost Proposal must comply with the format and content requirements as detailed in this RFP and in the instructions in **Attachment B – Cost Proposal Form**. Failure to comply with the format and content requirements may result in disqualification.

The bid price must cover the cost of furnishing all of the product(s) and services sought to be procured, including, at a minimum, travel, materials, equipment, overhead, profit, and labor to the satisfaction of the Department and the performance of all work set forth in said specifications.

The Department will evaluate proposals for cost realism and completeness. Proposals with pricing determined to be unrealistically low, based on staffing, scope coverage, or industry benchmarks, may be rejected as non-responsive. The Contractor must bear full responsibility for all costs necessary to deliver the SOW, and no additional compensation will be provided for omissions, underestimations, or inefficiencies.

8.0 PROPOSAL SUBMISSION

A proposal consists of three distinct parts: (1) the Administrative Proposal, (2) the Technical Proposal, and (3) the Cost Proposal. The table below outlines the requested format and volume for submission of each part. **Table 56** outlines the requested format and volume for submission of each part.

Table 56 – Proposal Submission

Proposal	Electronic Submission
Administrative Proposal	Email with the subject line: "Administrative Proposal, Bidder's Name, RFP #C043776" and containing a standard searchable PDF file(s) with copy/read permissions only.
Technical Proposal	Email with the subject line: "Technical Proposal, Bidder's Name, RFP #C043776" and containing a standard searchable PDF file(s) with copy/read permissions only.
Cost Proposal	Email with the subject line: "Cost Proposal, Bidder's Name, RFP #C043776" and containing a standard searchable PDF file(s) with copy/read permissions only.

In summary, the Bidder must:

1. Submit three (3) separate, searchable, and open and permission password protected, PDF proposals in three (3) separate emails to OHIPcontracts@health.ny.gov. Use this naming convention for the subject line of each email: "<Type of Proposal Submission, Bidder's Name, RFP #C043776>" **(e.g., "Technical Proposal, ABC Company, RFP #12345").**
2. Include, as an attachment to each email, the distinct PDF file labeled "Administrative Proposal," "Technical Proposal," or "Cost Proposal" followed by Company name and RFP number **(e.g., "Technical Proposal Submission, ABC Company, RFP #12345").**
3. All electronic bid submissions should be clear and include page numbers at the bottom of each page.
4. All electronic bid submissions should be in PDF Optical Character Recognition (OCR) searchable format.
5. The body of the email should also include the password to the file, contact information, and indicate the total number of pages intended, and, where indicated, each subset of pages listed. **Example: Administrative Proposal, 14 pages total. Attachment 3, 1 page.**
6. A font style of Arial size eleven (11) or 12 (twelve) points should be used. Text should be single-spaced or 1.15-spaced, with standard spacing between paragraphs. All submitted documents must retain standard 1-inch margins on all sides.
7. In the event an electronic submission cannot be read by the Department, the Department reserves the right to request a hard copy and/or electronic resubmission of any unreadable files. The Bidder shall have two (2) business days to respond to such requests and must certify the resubmission is identical to the original submission.
8. Where signatures are required, the proposals should have a handwritten signature (wet ink) and be signed in blue ink. A scan of the handwritten (wet ink) signature can be used for electronic submission in the PDF. The Department reserves the right to request hard copy originals of all signature pages at any time.

9. The Department discourages overly lengthy bids. Therefore, marketing brochures, user manuals, or other materials beyond that sufficient to present a complete bid, are not desired and will not be reviewed or evaluated. Elaborate artwork or expensive paper is not necessary or desired. In order for the Department to evaluate bids fairly and completely, all bids should follow the format described in this RFP and provide all requested information and no extraneous or additional information or material.
10. Audio and/or videotapes are not allowed. Any submitted audio or videotapes will be ignored by the evaluation teams.

Submission of proposals in a manner other than as described in these instructions (e.g., fax) will not be accepted.

The proposal must be received by the Department no later than the Deadline for Submission of Proposals specified in Section 2.0 – Calendar of Events. Late proposals will not be considered.

8.1 No Bid Form

Any organization choosing not to bid are requested to complete **Attachment 2 – No-Bid Form**. Although not mandatory, such information helps the Department direct solicitations to the correct bidding community.

9.0 METHOD OF AWARD

This section provides information related to the method of award of this RFP.

9.1 General Information

The Department will evaluate each proposal based on the "Best Value" concept. This means that the proposal that best "optimizes quality, cost, and efficiency among responsive and responsible offerors" shall be selected for award in accordance with State Finance Law, Article 11, §163(1)(j).

The Department**,** at its sole discretion, will determine which proposal(s) best satisfies its requirements. The Department reserves all rights with respect to the award. All proposals deemed to be responsive to the requirements of this procurement will be evaluated and scored for technical qualities and cost. Proposals failing to comply with the requirements of this RFP may be eliminated from consideration. The evaluation process will include separate technical and cost evaluations, and the result of each evaluation shall remain confidential until evaluations have been completed and a selection of the winning proposal is made.

The evaluation process will be conducted in a comprehensive and impartial manner, as set forth herein, by an Evaluation Committee. The Technical Proposal and compliance with other RFP requirements (other than the Cost Proposal) will be weighted **eighty percent (80%)** of a proposal's total score and the information contained in the Cost Proposal will be weighted **twenty percent (20%)** of a proposal's total score.

The Department may request the Bidders to clarify the contents of their proposals. Other than to provide such information as may be requested by the Department, no Bidder will be allowed to alter its proposal or add information after the Deadline for Submission of Proposals listed in **Section 2.0 – Calendar of Events**.

In the event of a tie, the determining factors for award, in descending order, will be as follows:

1. Lowest cost
2. Proposed percentage of M/WBE participation

9.2 Submission Review

The Department will examine all proposals that are received in a proper and timely manner to determine if they comply with the proposal submission requirements, as described in **Section 7.0 – Proposal Content** and **Section 8.0 – Proposal Submission**, including documentation requested for the Administrative Proposal, as stated in this RFP. Proposals that are materially deficient in meeting the submission requirements or have omitted material documents, in the sole opinion of the Department, may be rejected.

9.3 Technical Evaluation

The evaluation process will be conducted in a comprehensive and impartial manner. A Technical Evaluation Committee comprised of Program Staff of Department will review and evaluate all proposals.

Proposals will undergo a preliminary evaluation to verify the Bidder meets the minimum qualifications to propose as detailed in **Section 4.1 – Minimum Qualifications**.

The Technical Evaluation Committee members will independently score each Technical Proposal that complies with the submission requirements of this RFP. The individual Committee Member scores will be averaged to calculate the overall Technical Score for each responsive Bidder.

The scores will be normalized by using the following formula:

Z = (X/Y)***80%**
X is the average raw technical score of the proposal being scored
Y is the average raw technical score of the highest raw Technical Proposal
Z is the Total Technical Score

The Technical Proposal evaluation accounts for **eighty percent (80%) (up to eighty [80] points)** of the final score.

9.4 Cost Evaluation

The Cost Evaluation Committee will examine the Cost Proposal documents. The Cost Proposals will be opened and reviewed for responsiveness to cost requirements. If a Cost Proposal is found to be non-responsive, that proposal may not receive a cost score and may be eliminated from consideration.

The Cost Proposals will be scored based on a maximum cost score of twenty (20) points. The maximum Cost Score will be allocated to the Cost Proposal with the lowest, all-inclusive, not-to-exceed maximum price. All other responsive Cost Proposals will receive a proportionate score based on the relation of their Cost Proposal to the Cost Proposal(s) offered at the lowest final cost, using the following formula:

C = (A/B)***20%**
A is the total price of lowest Cost Proposal
B is the total price of Cost Proposal being scored
C is the Cost Score

The Cost Proposal evaluation is **twenty percent (20%) (up to twenty [20] points)** of the final score.

9.5 Composite Score

The Department will calculate a composite score for each proposal by adding the Technical Proposal points and the Cost Proposal points awarded. Finalists will be determined based on composite scores.

9.6 Interviews

For all bids and as part of the bid review process, the Department will perform interviews. The purpose of the interview is to allow the evaluators to validate the Bidder's experience and qualifications, including the Bidder's understanding of the RFP scope, their roles and responsibilities, and their overall approach to fulfill the RFP requirements.

Each Bidder will be notified of the date, time, agenda, and contact and conference room information of their interview, which will be held no earlier than the interview date designated in **Section 2.0 – Calendar of Events** at the 11 Corporate Woods, Albany, NY office. The interview should confirm the Bidder's ability to provide the required services. No more than six (6) staff from the Bidder's company shall be present in the interview. Of those six (6) individuals, four (4) of them must fulfill Key Staff roles in the Bidder's response. No new material will be permitted to be introduced during the interview.

The Department prefers the interviews be in-person, however, it reserves the right to accommodate remote/teleconference interviews.

9.7 Reference Checks

The Bidder should submit references using **Attachment 9 – References**. At the discretion of the Evaluation Committee, references may be checked at any point during the process to verify the Bidder's qualifications to propose as detailed in **Section 4.0 – Bidder Qualifications to Propose**.

9.8 Best and Final Offers

The Department reserves the right to request best and final offers (BAFOs). In the event the Department exercises this right, all Bidders that submitted a proposal that are susceptible to award will be asked to provide a BAFO. Bidders will be informed that, should they choose not to submit a BAFO, the offer submitted with their proposal will be construed as their BAFO.

9.9 Award Recommendation

The Evaluation Committee will submit a recommendation for award to the Bidder with the highest composite score whose experience and qualifications have been verified.

The Department will notify both the awarded Bidder and Bidders not awarded. The awarded Bidder will enter into a Contract substantially in accordance with the terms of **Attachment 8 – Department Agreement (Standard Contract)**, to provide the required product(s) or services as specified in this RFP. The resultant Contract shall not be binding until fully executed and approved by the NYS OAG and OSC.

10.0 ATTACHMENTS AND EXHIBITS

The following attachments are included in this RFP and are available via hyperlink or are provided on the Department's website.

- Attachment 1 – Bidder's Disclosure of Prior Non-Responsibility Determinations
- Attachment 2 – No-Bid Form
- Attachment 3 – Vendor Responsibility Attestation
- Attachment 4 – Vendor Assurance of No Conflict of Interest or Detrimental Effect
- Attachment 5 – M/WBE Required Forms for RFPs or Miscellaneous Procurements
- Attachment 6 – Encouraging Use of New York State Businesses in Contract Performance
- Attachment 7 – Bidder's Certified Statements

- Attachment 8 – Department Agreement (Standard Contract)
- Attachment 9 – References
- Attachment 10 – Diversity Practices Questionnaire
- Attachment 11 – EO177 Certification
- Attachment 12 – EO16 Certification
- Attachment 14 – Gender-Based Violence and the Workplace Certification

The following attachments and exhibits are attached and included in this RFP:

- Attachment A – Proposal Document Checklist
- Attachment B – Cost Proposal Form
- Attachment C – Staffing Cover Page
    - Attachment C.01 – Key Staff Proposal Form
    - Attachment C.02 – Support Staff Proposal Form
- Attachment D – Bidder's Qualifications
- Attachment E – RFP Requirements Matrix
- Attachment F – Service Level Agreements (SLAs)
- Attachment G – RFP Reference Material Cover Page
    - Exhibit G.01 – Acronyms and Glossary of Terms
    - Exhibit G.02 – NYSOH System Design Document
    - Exhibit G.03 – NYSOH System Operations and Maintenance Manual
    - Exhibit G.04 – MECM System Functional Topology Diagram
    - Exhibit G.05 – MECM System Logical Architecture
    - Exhibit G.06 – MECM System Physical Architecture
    - Exhibit G.07 – MECM System Technology Stack
    - Exhibit G.08 – MECM System High-level Integrations Diagram
    - Exhibit G.09 – MECM System ITS Shared Services
    - Exhibit G.10 – MECM System BOM
    - Exhibit G.11 – OHIP Offshoring Data Policy
    - Exhibit G.12 – Current MECM System and AMS Requirements Traceability Matrix
    - Exhibit G.13 – MECM SADD
    - Exhibit G.14 – MECM System Data Models and Data Dictionary
    - Exhibit G.15 – MECM System Cloud-Native Architecture and Initial Implementation Roadmap
    - Exhibit G.16 – MECM System M&O Runbook
    - Exhibit G.17 – MECM System and AMS Project Management Plan
    - Exhibit G.18 – AMS M&O Runbook
    - Exhibit G.19 – AMS Topology Diagram
    - Exhibit G.20 – AMS Logical Architecture
    - Exhibit G.21 – AMS Technology Stack
    - Exhibit G.22 – AMS High-Level Integrations Diagram
    - Exhibit G.23 – AMS BOM
    - Exhibit G.24 – Converged E&E System and AMS Business Capability Model and Definitions
    - Exhibit G.25 – Converged E&E System and AMS Interfaces
    - Exhibit G.26 – Converged E&E System and AMS Staffing Table Key Staff
    - Exhibit G.27 – Converged E&E System and AMS Staffing Table Support Staff
- Attachment H – Letter of Intent to Bid