Response to: Request for Proposal 23-72023

Operational Verification & Validation Services

Presented to:

State of Indiana

The Indiana Family and Social Services Administration (FSSA), Office of Medicaid Policy and Planning (OMPP)

Submitted by:

First Data Government Solutions, LP (FDGS)

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**TECHNICAL PROPOSAL**

Title Page

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| Technical Proposal | |
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# Overview of Current OV&V Operations

First Data Government Solutions, LP (FDGS), a wholly owned limited partnership of Fiserv, is a nationally recognized leader in Verification and Validation (V&V) consulting for health and human services systems. Indiana benefits from our national perspective, having provided these services on multiple large, complex, statewide systems for over 30 years. With this level of hands-on experience, and experience supporting Indiana, FDGS can continue providing Operational Verification and Validation (OV&V) services that exceed the Family and Social Services Administration’s (FSSA's) Office of Medicaid Policy and Planning (OMPP) requirements and expectations.

**Why should FDGS continue as your partner and trusted advisor for OMPP OV&V?**

* Our relationship with OMPP is built on trust and collaboration.
* FDGS will continue to maximize oversight of vendor contract standards and their accurate measurement.
* Continue driving vendor improved performance and better-quality processes, deliverables and outcomes.

We have learned the most successful projects are a result of strong partnerships with our state partners—something Indiana knows firsthand. To develop cohesive working relationships, we provide our clients with quality service and outstanding personnel, like our Project Manager, Michael Simms. Our FDGS Project Team is committed to being available and responsive to OMPP needs. We focus on working proactively with both OMPP and their vendors to validate that the vendors are providing the services as contractually required and to the level of performance expected.

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Description automatically generatedFDGS has worked on many successful V&V projects involving government information systems, including some of the largest and highest-profile projects in the country. Indiana has seen the advantages of our experience and lessons learned from other states as we have supported OMPP in transforming its operations. The organizational dynamics of OMPP are complex. The number of stakeholders, vendors and systems supporting mission critical operations require a team who intimately understands how OMPP works and who the players are. We successfully worked with OMPP and their fiscal agent to modernize and modularize their Medicaid Enterprise Systems (MES) via the procurement, development, and successful implementation of the CoreMMIS (Medicaid Management Information System), and previous implementations of distinct Pharmacy Benefits Management (PBM) and Enterprise Data Warehouse (EDW) vendors and systems.

Figure : Heat Map of FDGS QA/IV&V Experience

Through our work with Indiana so far and similar efforts in multiple states, FDGS understands what works well, and we know what to watch for as legislative, operational and organizational imperatives affect OMPP. For example, as a valued partner, the FDGS Team worked with the Medicaid Director to continue to deliver critical services through the Public Health Emergency (PHE). Our role has taken many different forms and responsibilities over the lifecycle of the projects, depending on the specific milestone or work product developed, but we have always maintained our commitment to meeting our customers’ needs with dedicated staff and proven tools and methodologies. Additionally, we have experience working across the table from multiple vendors like Gainwell, Optum EDW and Optum Rx during our 12 years at OMPP. The FDGS way means developing healthy working relationships to get work done on time and on budget.

**OV&V Automation Opportunity for Vendor Management**

Utilizing the State Microsoft Office 365, OV&V could utilize MS Teams Vendor Channels to share communications and documents with vendors which reduces security risks associated with utilizing email communications.

FDGS is pleased to offer OMPP our Operational Verification and Validation (OV&V) services to support OMPP quality management, vendor management and performance management efforts. Our work with OMPP over the past 12 years affords FDGS unparalleled knowledge and experience with OMPP eligibility and system vendors and the operational processes at both the regional and county levels. FSSA and FDGS have developed a collaborative, trusting relationship in our work together since 2007. Our local team, with nearly eight decades of collective OV&V experience and extensive knowledge of OMPP programs, policies and processes, is committed to continuing these relationships through standardized and ad hoc service offerings.

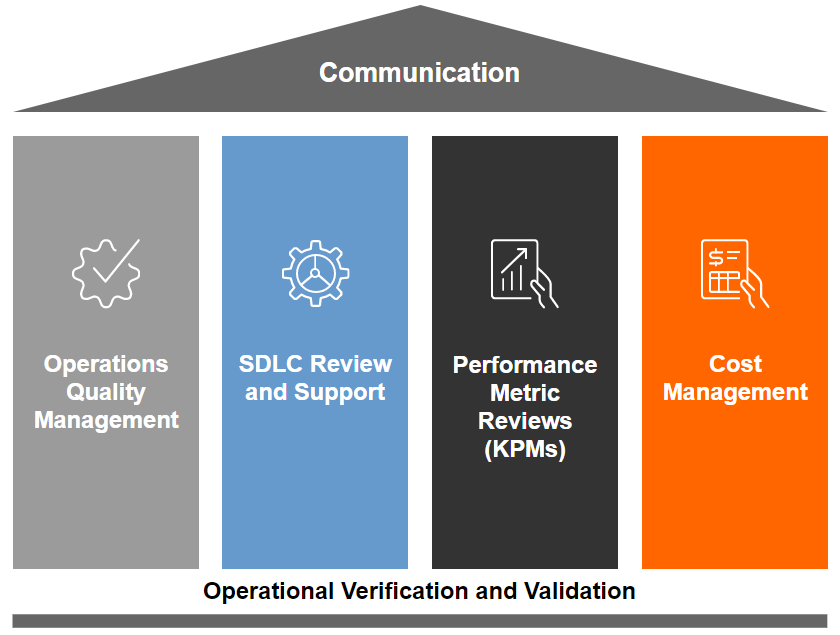


Figure : FDGS OV&V Framework

**Figure 2** illustrates the FDGS OV&V Framework employed today to meet OMPP needs and will continue to help us achieve your future goals.

Our OV&V Framework addresses operational and vendor verification and validation areas including:

* **Operations Quality Management**
  + Performance Monitoring and Quality Assurance – FDGS provides a robust performance monitoring and quality assurance program that includes monitoring and reporting of vendors’ performance and validates the overall quality of the performance metrics.
  + Project Quality Management – FDGS works with the Medicaid Management Information System (CoreMMIS) vendor to support the development of the Quality Metric Management Plan (QMMP) and conducts reviews to assess the accuracy of the CoreMMIS vendor’s metrics.
  + Project Operations Management Support – FDGS provides a wide array of operational support such as Software Development Life Cycle (SDLC) reviews, Claims and Capitation reporting.
* **Software Development Lifecycle Review and Support**
  + Project Management Support – FDGS uses industry standards and best practices for project management such as the Project Management Book of Knowledge (PMBOK) to provide sound, tested project management support.
  + Project Deliverables Review – FDGS is available to review project documentation and has provided actionable recommendations.
  + Change Control Process Support – FDGS has helped to facilitate the change order process for CoreMMIS.
* **Performance Metrics Reviews**
  + Performance Monitoring – FDGS provides a robust performance monitoring program that includes monitoring and reporting of vendor performance and validates the overall quality of the performance metrics.
* **Cost Management**
  + Vendor Invoice Review – As needed, FDGS works with OMPP to identify the vendors, periods and criteria needed to verify and validate billing accuracy.
  + IAPDU/PAPDU Support – FDGS has worked with OMPP to provide periodic updates to the approved multi-year IAPD/OAPD projects. Updates have included progress, accomplishments, and issues, budget/expenditure changes and any mechanisms needed to request further approvals. The most recent efforts yielded federal agency approvals.

These next subsections provide the detail for how our OV&V Communication is applied to OMPP vendor validation and monitoring.

Diagram

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Figure 3: OV&V Communication Strategy

FDGS continues to provide comprehensive assistance to the OMPP regarding the CoreMMIS vendor through reviewing and reporting on their quality assurance, required reporting, metric validation and invoice validation.

OV&V Communication Strategy is at the foundation of our practice. Our framework is built on four (4) primary classifications of reviews. These classifications focus us on targets for OV&V activity, and the following define not just the classifications, but the primary Medicaid Enterprise Systems (MES)-specific business reviews each may entail independent of vendor:

* **Performance Measures Reviews (KPMs)**Measurement, management, and optimization of various activities of FSSA’s primary system enterprise vendors in succinct summaries easily consumable for FSSA management. Many metrics may be measured, but only the most important of these are defined and used to actively manage and report on the process, Information Technology (IT) service, or activity. KPMs should be prioritized and selected from amongst these to verify that efficiency, effectiveness, and cost effectiveness are all managed:
  + System Technical Performance
  + Claim Processing Performance
  + Provider Enrollment and Profile Management Performance
  + Change Release Tracking
  + Change Estimate and Schedule Variance Tracking
  + Maintenance Performance Tracking
  + Staffing Volume Tracking
* **Cost Management**Assessment of whether the vendor is in compliance with all itemized billing terms and conditions and understands all aspects of managing the invoicing of such agreements, from work product and deliverable review and approval processes to invoicing to tracking equipment and software purchases and associated license and maintenance agreements. As part of our standard contract compliance assessment process, we review the contract to determine if all financial information and cost schedules are detailed appropriately and accurately.
  + Billing Contingencies, such as:
    - Deliverable submission and approval schedules, payments, holdbacks, and releases
    - Invoice and supporting documentation provision
    - Deliverable, services, system and performance warranties
    - Equipment and software purchases and ongoing maintenance and support
    - New or modified KPMs and adherence to them
  + Invoice Tracking, Monitoring, and Validation
  + Change and Project Itemized Billing Review, including:
  + Confirmation of the entity fiscally responsible for those billed
  + Units billed for each resource against those in the vendor’s system of record
  + Trending against billing history to reveal any abnormalities of concern for FSSA
* **Operations Quality Management**Quality is measured and managed at a high-level via the performance and performance metric OV&V services mentioned earlier. Additionally, we provide deeper, targeted quality reviews in areas identified to be troublesome via that performance management. We can achieve this next level of quality by engaging the following approaches:
  + Operational Quality Support, including verification that:
    - The full body of work product is included in the quality universe
    - The sampling method is truly randomized and not arbitrary or bias-inducing
    - Critical demographic information on each work piece is imported into the quality review
    - The quality criteria encompass all possible errors, and that the process for determining pass or failure against them is unambiguous
    - All result consolidation and tabulations prevent any misreporting of quality rate or results
    - Additional recommended data elements or criteria are added to facilitate the isolation and iterative trending of root causes for any defects
    - Targeted, Short Term Independent Quality Reviews
    - System testing structure, execution, and results review
    - Priority Change Order Embedded Review
    - Targeted, Short Term Business Process Analysis
* **SDLC Review and Support**The primary purpose of deliverable assessments is not only to confirm that each deliverable satisfies all applicable business and technical requirements and conforms to project quality and industry standards, but also to verify that each deliverable moves the project one step closer to implementation:
  + Change Request Review
  + Change Implementation Review
  + Release Review

Oversight

FDGS also supports OMPP with vendor oversight. This includes, but is not limited to the following:

* **Measurement and Management of Vendors** – FDGS assists with monitoring the quality metrics of the CoreMMIS vendor, as well as reviewing vendor deliverables for trending or incomplete information.
* **Conduct Deliverable and Work Product Review** – FDGS review the IHCP SharePoint site to which all vendor Monthly Status Reports are sent. We follow up to ensure receipt and we review both trends and any unusual or incomplete information discovered.

FDGS Team Overview

The FDGS Team’s experience and knowledge of Indiana facilitates an understanding of the existing OMPP project standards, methodologies and practices, having been a key player in their execution. We have a deep understanding of the governance structure of the OMPP organization and its preferred approaches to service level agreements, defect management, performance metrics, dispute resolution and stakeholder communication. We are committed to continuing supporting of OMPP in its mission to measure, monitor and validate the performance of OMPP’s vendor.

In alignment with Indiana’s commitment to provide equal opportunity to minority, women, and veteran own enterprises FDGS has composed a team of vendors to collectively support the OV&V needs of OMPP. Our vendor partners provide staff with local expertise who not only have experience on the FDGS Team, but many also have previous experience working with the other state vendors and programs OMPP administers. We are confident the FDGS Team will continue to collaboratively deliver the high-quality products and services OMPP expects from their OV&V Contractor. The FDGS Team is comprised of the following partners:

* **eSense** – an Indiana Minority Business Enterprise partner since 2009.
* **M.R.C. Inc.** – an Indiana Veteran Business Enterprise partner since 2017.
* **Hypesmith** – an Indiana Women Business Enterprise partner since 2009.



Figure 4: The FDGS Team

The roles and responsibilities of our subcontractors are identical to those engaged by our own staff; to coordinate and participate in multiple assignments simultaneously to measure and manage the performance, billing, quality and deliverables of the OMPP vendors, as assigned. Their individual qualifications and experience are addressed in [*Section 9 - Staffing*](#_Staffing).

FDGS oversees these subcontractors directly as part of the project. Our FDGS Project Manager and Team Managers consult with the individuals daily to peer-confirm the results of their analysis. This management approach allows their efforts to remain directly aligned with your needs. We provide regular feedback on both OMPP and FDGS satisfaction with their work product to their respective subcontractors and reserve the right to adjust the subcontracted individuals involved as necessary to maintain the highest standard of work quality for OMPP.

## Programs Initiated in Other States

The FDGS government consulting practice is structured to support project delivery and enhance our practices and methodologies in support of FSSA and OMPP. We have an operational team, including managers and consultants, dedicated to delivering excellence on our FDGS consulting projects, which includes maintaining the FDGS Center of Excellence and Innovation (CoE&I) for consulting services with a V&V Consulting Community. Our CoE&I communities follow our Practice Guides, which are our prescribed methods for conducting services and managing projects and were developed based on industry standards and best practices identified across our many state projects. FDGS consultants use these resources, such as our Risk and Issue dashboards, to tailor every solution to the specific needs of the projects they support and can leverage the extensive repository of templates and tools we have from past projects to learn from past experiences.

**Table 1** highlights select FDGS V&V project experience related to the services requested in the RFP.

Table 1: FDGS Experience in the Required V&V Review Activities

| **Project** | **Timeframe** | **Activities** | | | | | | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Project Management** | **Quality Management** | **Training Support** | **Requirements Validation** | **Operating Environment** | **SDLC Support** | **Testing Support** | **Data Analysis Support** | **Operations Oversight** |
| **Indiana.** Eligibility Modernization Program OV&V | 05/07–Present | **** | **** | **** | **** | **** | **** | **** | **** | **** |
| **Indiana.** MMIS Operational Verification and Validation (OV&V) | 11/09–Present | **** | **** | **** | **** |  | **** | **** |  | **** |
| **Indiana.** Eligibility Determination Services System (IEDSS) | 12/12–09/20 | **** | **** | **** | **** | **** | **** | **** | **** | **** |
| **Arkansas.** Department of Human Services Eligibility System | 05/13–12/15 | **** | **** | **** | **** | **** |  | **** | **** | **** |
| **California.** LEADER Replacement (LRS) Quality Assurance | 04/15–Present | **** | **** | **** | **** | **** |  | **** | **** | **** |
| **California.** C-IV Statewide Automated Welfare System | 08/97–Present | **** | **** | **** | **** | **** | **** | **** | **** | **** |
| **California.** CalWORKs Information Network (CalWIN) | 07/95–04/18 | **** | **** | **** | **** | **** | **** | **** | **** | **** |
| **California.** ISAWS Migration Development and Implementation | 10/07–8/10 | **** |  | **** | **** |  |  | **** | **** |  |
| **California.** Health Benefit Exchange (CalHEERS) Procurement Assistance and Project Management Oversight | 10/11–Present | **** | **** |  | **** | **** | **** | **** | **** | **** |
| **California.** Los Angeles Eligibility Automated Determination Evaluating and Reporting (LEADER) | 11/92–10/06 | **** | **** | **** | **** | **** | **** | **** | **** | **** |
| **California.** Riverside County IT IV&V and Call Center | 09/11–09/12 |  |  |  |  | **** |  |  |  | **** |
| **Colorado.** Health Benefit Exchange IV&V | 11/12–02/14 | **** | **** |  | **** | **** | **** | **** |  |  |
| **Connecticut.** Department of Social Services Modernization | 09/08–Present | **** | **** |  | **** |  | **** | **** | **** |  |
| **Connecticut.** Health Insurance Exchange IV&V | 04/13–06/16 | **** | **** |  | **** | **** |  | **** | **** |  |
| **Idaho.** Health Insurance Exchange IV&V | 04/14–12/16 | **** | **** | **** | **** | **** | **** | **** | **** | **** |
| **Louisiana.** One DCFS Modernization | 12/09–12/15 | **** | **** | **** | **** | **** | **** | **** | **** | **** |
| **Nebraska.** Eligibility and Enrollment IV&V | 01/14–06/16 | **** | **** |  | **** |  |  | **** |  |  |
| **New Mexico.** Child Support Enforcement System (CSES) & Medicaid Management Information System (MMIS) Replacement PMO Services | 10/14–04/16 | **** | **** |  | **** |  | **** |  |  |  |
| **New York.** NY IES & NYSOH IV&V | 10/18–07/20 | **** | **** |  | **** | **** | **** | **** | **** | **** |
| **New York.** DOL UI Systems Modernization Project | 01/05–09/07 | **** | **** |  | **** | **** |  | **** | **** |  |
| **North Dakota.** MMIS Replacement | 09/07–09/09 |  |  |  | **** | **** |  | **** |  | **** |
| **South Carolina.** Child Support Enforcement | 07/94–06/96 | **** | **** |  |  | **** | **** |  |  |  |
| **Texas.** Compass21MMIS Implementation | 10/00–12/02 | **** | **** |  | **** |  |  | **** |  |  |

## Programs Specific to Indiana

Our approach to continuing to perform the OV&V services describe in the RFP is to refine each of our tasks and work products to support Indiana’s evolving goals. We will continue to help OMPP benefit from the experiences of other states while focusing on Indiana’s specific needs. Some of the areas in which we will continue or can provide Indiana-specific services upon request are highlighted in the following section with additional details provided below:

**FDGS OV&V Highlights**

* $23M Capitation Finding
* 100% Vendor KPM Review/Reporting
* 100% SFY Budget by CR Review/Reporting
* Vendor oversight of the Medicaid Fiscal Agent
* **Operations Quality Management**
  + **Performance Monitoring and Quality Assurance** – provide a robust performance monitoring and quality assurance program that not only includes monitoring and reporting of vendor performance but also validates the overall quality of the performance metrics. The FDGS Team utilizes vendor quality systems and tools to conduct our validation.
  + **Project Quality Management** – work with the state to support the development of the Quality Metric Management Plan (QMMP) and conduct Medicaid Fiscal Agent Reviews to assess the accuracy of the CoreMMIS KPMs.
  + **Project Operations Management Support** – provide a wide array of operational support such as Capitation, Testing and Plan of Action (POS) reviews, Regression Testing and 508 compliance support.
* **Software Development Lifecycle Review and Support**
  + **SDLC Project Management Support** – utilize industry standards and best practices for project management such as the Project Management Book of Knowledge (PMBOK) to provide sound, tested project management support.
  + **Maintenance and Point Release Rollout Support** – participate in the entire Software Development Life Cycle (SDLC) from requirements reviews through CoreMMIS Implementation support.
  + **Project Deliverables Review** – review project documentation and provide actionable recommendations.
* **Performance Metrics Reviews**
  + **Performance Monitoring** – provide a robust performance monitoring program that not only includes monitoring and reporting of vendor performance but also validates the overall quality of the performance metrics.
  + **Measuring Client Satisfaction** – provide support to OMPP Management in measuring client satisfaction by conducting analysis of client Corrective Action Plans (CAP).
  + **Indiana Periodic and Ad-hoc Reports, Document Retention and Access** – work with OMPP to determine the type, format, and frequency of reports required. The Team will continue to use the OMPP OV&V and Indiana Health Coverage Programs (IHCP) SharePoint sites to store relevant non-sensitive project documentation. If reports contain sensitive information such as PHI or PII, the Team will use the OMPP OV&V OneDrive Team sites. Our Team will also maintain the IN OMPP IV&V SharePoint site.
* **Cost Management**
  + **Vendor Invoice Review** – as needed, continue working with OMPP to identify the vendors, time periods, and criteria needed to verify and validate billing accuracy.
  + **APD Support** – work with OMPP to provide periodic updates to the approved multi-year APD projects. The updates include progress, accomplishments, and issues, budget/expenditure changes and any mechanisms needed to request further approvals.
* **Project Management**
  + **Ad-hoc Requests and Projects** – provide an array of support for ad-hoc requests and special projects. We will work with OMPP to determine the level of support and reporting needs for these requests and projects.

The FDGS OV&V Framework includes an overarching communication strategy. The purpose to this key element is to promote positive, collaborative relationships with OMPP and their vendors and enable communications that increase project quality and effectiveness.

The FDGS Team also understands the importance of continuous improvement and how technology can be utilized to provide a more efficient, streamlined process. FDGS is proposing utilizing the State Microsoft Office suite of tools such as, MS Teams, OneDrive, Power Automate and Power BI to implement process and reporting improvements in several OV&V activities. The balance of our response to this RFP illustrates our continued commitment to OMPP through building on these types of innovative OV&V practices.

These next subsections provide the detail for what it takes to continually measure and monitor the vendors supporting OMPP. Our experience at OMPP and our expanding relationship with your vendors has provided FDGS the opportunity to understand these everyday activities at a level that no other firm can provide. With our oversight, we have improved the quality of work provided to OMPP and look forward to further examining each process and activity for opportunities to propose and provide continued improvement and greater success for your program outcomes.

## Collaboration with Other States

**Table 1** in subsection [*3.1 Programs Initiated in Other States*](#_Programs_Initiated_in) above, presented an overview of the level of experience FDGS has accumulated across the country. We provide additional information specific to some of our most recent collaborations with human services agencies in other states.

* **Connecticut Modernization Consulting Services for IV&V, Project Management and Quality Assurance** – Connecticut Department of Social Services (DSS) delivers public assistance and employment services for Medicaid, TANF, Food Stamps and related Child Care Programs and services. DSS serves a caseload of 390,000 and 3,000 staff in more than 25 locations. The Eligibility Management System (EMS) supported the Department for over 20 years and was constrained by its technology. DSS embarked on a modernization effort utilizing FDGS to provide Strategic Planning, Procurement, IV&V and Quality Assurance services. The planning and procurement were successfully completed with the design, development and implementation phase-initiated November 2011. FDGS continues to provide IV&V/Quality Assurance services throughout DDI and M&O phases of the project.
* **California C-IV Project** – FDGS currently provides Quality Assurance and Independent Testing services during maintenance and operations phase of the C-IV system in accordance with PMBOK and CMMI methodologies. The system provides SNAP, TANF, Medicaid, Foster Care and Medicaid to its recipient base. C-IV currently has a web portal that allows clients to apply for TANF, SNAP, Medicaid and State-administered County Medical Services Provided (CMSP) benefits as well as inquire about required demographic administrative documentation requirements. In our M&O role, FDGS also assists the client with evaluation of federal and state regulations.
* **California Los Angeles LEADER Replacement System (LRS) Quality Assurance Services** –The LRS Project is part of the State of California’s Statewide Automated Welfare System (SAWS), replacing the aging Los Angeles County LEADER system which services the welfare needs of 10 million Los Angeles County residents, which is one-third of the State’s health and human services population. The objective of the LEADER Replacement System project was to replace and consolidate multiple existing welfare programs with a modern, standards-based (vendor-neutral) system using a Service Oriented Architecture (SOA) to meet the County’s needs. In support of this project, FDGS is performing Quality Assurance and independent testing services beginning with the development and implementation phase and continuing through the maintenance and operations phase.
* **California Health Benefit Exchange Project Management and Technical Support** –The California Health Benefit Exchange is an independent public entity within California State Government. The Exchange contracted with FDGS to provide Project Management and Technical Support Consulting Services to support State project staff during the Design, Development and Implementation (DDI) of the California Healthcare Eligibility, Enrollment and Retention System (CalHEERS). The FDGS Team functions as an integral component of the State's CalHEERS project management team, supporting the State in executing its responsibilities for managing the CalHEERS DDI.
* **Nebraska Eligibility and Enrollment Solution IV&V** – FDGS was responsible for performing Independent Verification and Validation (IV&V) services associated with the implementation of a new Eligibility and Enrollment Solution (EES) and for multiple implementation projects related to Nebraska’s Medicaid Management Information System (MMIS) modernization strategy. The Department of Health & Human Services (DHHS) transitioned to a mandatory managed care model where most beneficiaries receive health care services through a Managed Care Organization (MCO). The MMIS system transitioned to support the MCO model via a new component based MMIS system.

## Licensing Sanctions/Formal Complaints

FDGS provides its AuthentiCare® solution to the State of South Carolina. AuthentiCare is a tool that facilitates the confirmation of health care providers’ performance of applicable health services to citizens of South Carolina. In February 2014, South Carolina audited its payments to care providers and found certain claims for services that should be disallowed. South Carolina reversed the charges to the care providers and indicated that FDGS should refund the claims and seek collection from the care providers. As the provider of AuthentiCare, FDGS was inappropriately requested to repay the disallowed claims. Instead, the claims should have been assessed to the financial agent who actually pays the care providers on behalf of the State. FDGS appealed the decision to assess the disallowed claims to it and on appeal, the State of South Carolina agreed with the FDGS position and agreed to dismiss the claim for the disallowed charges. The parties stipulated to dismissal and FDGS facilitated the efforts of the financial agent and South Carolina to recover the disallowed claims from the care providers that were inappropriately paid. SC DHH Appeal 14-0249.

## Corrective Action Plans

On February 22, 2010, the State of Indiana sent a notice of non-compliance to FDGS regarding the completion schedule for one deliverable under contract 99-10-LF-0493 with the Office of Medicaid Policy and Planning. On March 4, 2010, FDGS submitted a corrective action plan, and subsequently that deliverable was completed, remedying the initial complaint.

# Mandatory Requirements

This section provides the FDGS response to the Mandatory Requirements as outlined in Attachment K, Scope of Work of the RFP.

Table 2: FDGS Response to Mandatory Requirements

| Requirement | FDGS Response |
| --- | --- |
| 1. The Contractor must comply with all applicable State and Federal Laws and Regulations. | 1. FDGS agrees to comply with all applicable State and Federal Laws and Regulations. |
| 1. The Contractor must comply with all Indiana Office of Technology (IOT) security policies (available at <http://www.in.gov/iot/2394.htm>) as well as all FSSA specific policies (set forth in greater detail in Attachment B, Sample Contract). These security policies are subject to modification during Contract negotiations pending changes to pending Federal law and FSSA policy. | 1. FDGS agrees to comply with IOT and FSSA security policies as outlined in Attachment B. FDGS understands these policies are subject to modification during Contract negotiations pending changes to pending Federal law and FSSA policy. |
| 1. The Contractor must not use or further disclose Protected Health Information or private data other than as permitted by the Contract or required by applicable law. | 1. FDGS agrees NOT to use or disclose PHI or private data other than as permitted by the Contract or as required by applicable law. |
| 1. The Contractor has experience providing OV&V, Quality Assurance, and/or Project Management services for a government client. | 1. In addition to the experience addressed by **Table 1**, FDGS has 12 years of experience providing OV&V, Quality Assurance, and/or Project Management services to the State of Indiana, Family Social Services Administration. |
| 1. The Contractor shall not share ownership with, or have a financial interest in, any of the vendors for which it performs, on behalf of the State, oversight and validation duties. 2. Subcontractors of the Contractor shall not be involved in the oversight and validation duties for a vendor with whom it subcontracts on another contract. | 1. FDGS agrees we do not and will not share ownership with, or have a financial interest in, any of the vendors for which we perform, on behalf of the state, oversight and validation duties. 2. FDGS agrees our subcontractors shall not be involved in the oversight and validation duties for a vendor with whom we subcontract on another contract. |

# Oversight, Validation and RelatedDuties Pertaining to the CoreMMIS Vendor

**Improvements in Indiana**

* OMPP OV&V Findings Tracking Log down to 0
* Incorporated additional details in the OV&V Monthly Statue Report section descriptions

**OV&V Forward**

* Identified Full and half capitation payments for the same member, same month and same MCE. Resulting in a $23M State Recoupment

The FDGS Team will engage in daily oversight activities to assist OMPP in regular and ongoing quality management activities. Daily interaction with project stakeholders provides an opportunity for early identification of potential issues and risks that could impact the success of the project. Additionally, the daily oversight activities provide the necessary research and analysis for developing the OV&V Quarterly Project Assessments, which will provide the State with insights to the overall quality and progress of the project. Our daily oversight activities do or can include, but are not limited to:

* Reviewing vendor invoices and comparing them to contractual requirements to determine if vendor invoices should be approved (or rejected)
* Reviewing overall vendor quality, which includes quality reviews and deliverable reviews
* Monitoring and reporting on vendor performance metrics
* Review of vendor documentation such as corrective action and vendor reports
* Providing support and monitoring of transition activities between current and replacement vendors as needed

Each OMPP vendor receives monitoring according to the terms of their individual contracts. The FDGS Team has 12 years of knowledge and experience of OMPP vendor processes, metrics and the types of vendor deliverables and work products produced which is key to identifying risks, issues and areas needing improvement. This knowledge and experience will also be invaluable during the transition period should OMPP change vendors through its recent service procurement efforts.

## Measurement and Management of CoreMMIS Vendor

Quality Management is the process of verifying or determining whether products or services meet or exceed client expectations. Quality in this program delivery results from effective measurement and management of OMPP vendors. Quality management is the function through which measurement and analysis work to continually improve project methods, procedures and outcomes. This integrates quality into every step of staff activity to produce work products that meet requirements and are fit for use. This process-driven approach considers specific steps in design, development, production and service to help define and attain goals.

FDGS emphasizes two key principles that typify quality management:

* **Fit for Purpose** –Product or services should be suitable for the intended purpose.
* **Right the First Time** –Mistakes should be eliminated.

### Key Performance Metric (KPM) Review and Validation

The FDGS Team has a well-defined metrics management program. The objective of this is to measure, manage and optimize various OMPP vendors’ activities summarized for OMPP Management. FDGS reviews Key Performance Metric (KPMs) or metrics to monitor each vendors’ compliance with contractual requirements. Only the most important metrics are defined as KPMs and used to actively manage and report on a process or activity, although project teams may measure many metrics. KPMs should be selected to verify that efficiency, effectiveness and cost are all managed. A few examples of the KPMs FDGS currently monitors for OMPP vendors are listed here:

* **Quality Management**
  + Compliant with all applicable key federal legislation (e.g., ADA, OSHA, etc.) in all activities
  + Compliant with Indiana Law in all activities
  + Compliant with all HIPAA requirements for privacy and security in all activities
  + Breaches in data access
  + Correct web portal failures
* **Service Desk Management**
  + Respond clearly, correctly, concisely and consistently to written or emailed inquiries
  + First Time Call Resolution
  + Answer calls provider and member calls within 120 seconds. EDI calls will be answered within 120 seconds at 80% of monthly reported calls
  + Maintain average caller hold time
* **Document Management**
  + Store and maintain all documents electronically on a SharePoint or similar State acceptable collaboration software product
  + Date and time stamp all incoming mail received by 3 PM on the date received. Mail received after 3 PM may be date and time stamped the next business day. If received after 3 PM on a Friday or the day preceding a holiday, date-stamped with the date of receipt by the close of the following business day
* **Claims Management**
  + Time to adjudicate clean paper claims received by the vendor
  + Time to adjudicate clean electronically submitted claims received by the vendor
  + Time to review and adjudicate non-check provider requests for adjustments received by the vendor

We review the vendors’ metrics reports and independently assess the various metric criteria. Upon conclusion of our assessment, we document our findings and provide our independent evaluation is included with the OV&V Monthly Status Report to OMPP. Any risks or issues identified during our review are included in the OV&V Monthly Status Report. Interim observations are also shared in the Monthly Status Report and the Monthly OMPP Status Meeting. The FDGS Team also reports vendor metric compliance via the monthly CoreMMIS Requirement and KPM Withhold Report (see **Figure 5**).

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**Figure 5: CoreMMIS Requirements and KPM Withhold Report**

The FDGS Team is proposing an innovative solution to vendor metric reporting by utilizing of the State of Indiana Microsoft Office 365 tools such as the OV&V MS Teams and associated Teams SharePoint or OneDrive sites to develop a vendor Metric Dashboard. This can be accomplished using a SharePoint List and Power BI for the reporting. If Power BI is not available to the FDGS Team, dashboards can also be developed in Excel and displayed in the MS Teams SharePoint site. The FDGS Team would work with OMPP Management to determine dashboard content and who should have access to the dashboard Team in MS Teams. Examples of the vendor Metric List and Dashboard, which includes drill-through functionality to see specific months of non-compliance, are provided in **Figures 6, 7** and **8**.

Table

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**Figure 6: Example Vendor Metric SharePoint List**

Graphical user interface, application

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**Figure 7: Vendor Metric Dashboard Example**

Table

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**Figure 8: Vendor Metric Drill-Through Example**

The utilization of MS Teams and the associated SharePoint site provides the ability for the OMPP Management Team to view vendor metric status at any time in an easy-to-use visual display. The FDGS Team would collaborate with OMPP to develop the appropriate dashboard reporting.

We have provided examples of best practices and lessons learned in **Table 3** for Measurement and Management of vendors.

Table 3: Examples of Best Practices and Lessons Learned for Measurement and Management of Vendors

|  |  |  |
| --- | --- | --- |
|  | **Task or Deliverable** | **Our Experiences and Recommendations** |
| **Best Practices**  A picture containing text  Description automatically generated | Conducting KPM Assessments | FDGS reports the vendor(s) KPM through the vendor Metric Report monthly to the Client  FDGS identifies and reports, as part of the vendor Metric Report, potential risks or impacts to services when KPMs are not met  The KPM are monitored monthly, quarterly and annually as part of the vendor Metric Report and supporting communications |
| **Lessons Learned**  C:\Users\summersk\Documents\Professional Services\Graphics\Lessons-Learned.jpg | Instances when self-reporting vendors and KPM reporting are developed, there should be an attempt to include a measure for which validation can occur | Validation is critical for self-reported information; it confirms self-reporting vendors are aligned with the environment, truly tracking the tasks and processes that matter to OMPP and are producing accurate reporting |

We have provided examples of deliverable outputs in the following table for Measurement and Management of vendors.

Table 4: Deliverable/Output Summary for Measurement and Management of Vendors

|  |  |  |
| --- | --- | --- |
| **Measurement and Management of Vendors – Deliverable/Output Summary** | | |
| **Deliverable/Output** | **Approach** | **Frequency** |
| Vendor Compliance Tracking | Consolidate vendor KPMs and track for the month and quarter. | Monthly |
| Quarterly Project Assessment | Provide overall vendor status and KPM. Also includes risk, issues and recommendations. | Quarterly |
| Vendor Metrics Compliance Dashboard (new) | Provide a dynamic visual view of vendors metrics and their current status. Includes ability to filter by month, quarter and year and drill through of associated data. | At least monthly |

### Corrective Action Plan Monitoring

Corrective Action Plan (CAP) Monitoring is a part of the FDGS Team quality management approach. FDGS will continue to outline steps for addressing issues and gaps in CoreMMIS Operations. FDGS will remain working with OMPP to review vendor CAPs to ensure the CAP is specific, measurable, attainable, relevant and time bound. Additionally, verify that the CAP adheres to the timelines and requirement set forth by OMPP.

## Invoice Monitoring

FDGS is experienced in reviewing modification pool invoices against timekeeping and change history for multiple OMPP vendors such as the CoreMMIS vendor. The FDGS Team recognizes the pay points for each vendor may differ, however, it is important to have an established invoice review process that can be utilized across vendors and shared with OMPP and if OMPP requests, with the OMPP vendors. Assessment of whether the vendor is in compliance with all itemized billing terms and conditions and understands all aspects of managing the invoicing of such agreements, from work product and deliverable review and approval processes to invoicing to tracking equipment and software purchases and associated license and maintenance agreements. As part of our standard contract compliance assessment process, we review the contract to determine if all financial information and cost schedules are detailed appropriately and accurately. The FDGS invoice review process includes the following steps.

* Billing Contingencies, such as:
  + Deliverable submission and approval schedules, payments, holdbacks, and releases
  + Invoice and supporting documentation provision
  + Deliverable, services, system and performance warranties
  + Equipment and software purchases and ongoing maintenance and support
  + New or modified KPMs and adherence to them
* Invoice Tracking, Monitoring, and Validation
* Change and Project Itemized Billing Review, including:
  + Confirmation of the entity fiscally responsible for those billed
  + Units billed for each resource against those in the vendor’s system of record
  + Trending against billing history to reveal any abnormalities of concern for FSSA

FDGS knows that invoice reviews must be performed carefully and promptly so any questions or concerns can be resolved prior to the vendor payment due date to prevent the State from incurring any late payment expenses.

We have provided examples of best practices and lessons learned in the following table for Invoice Monitoring.

Table 5: Best Practices and Lessons Learned for Invoice Monitoring

|  | **Task or Deliverable** | **Our Experiences and Recommendations** |
| --- | --- | --- |
| **Best Practices**  A green sign with white lettering  Description automatically generated with low confidence | Invoice monitoring | FDGS tracks the receipt of invoices to be reviewed and, with OMPP approval, contact vendors if they are not received as expected.  FDGS begins reviews and validation upon receipt of invoices so questions and concerns can be resolved prior to payment due dates. |
| **Lessons Learned**  **A picture containing text  Description automatically generated** | Invoice validation | It is important to keep OMPP apprised of the progress of any particularly large or complex one-time invoice reviews. This allows OMPP to provide up-to-date information if vendors or other interested parties inquire.  It is important to create and provide to OMPP the documentation related to invoice reviews and validation in case OMPP wants to provide the supporting information to a vendor or in case there is an audit. |

The following table is a list of examples of the deliverable outputs and reports that the FDGS Team has or can provide to OMPP for Invoice Monitoring.

Table 6: Examples of Deliverable/Output Summary for Invoice Monitoring

| **Invoice Monitoring and Validation – Deliverable/Output Summary** | | |
| --- | --- | --- |
| **Deliverable/Output** | **Approach** | **Frequency** |
| Payment Recommendation | Provide OMPP the invoice number, date, amount and recommendation for payment, or denial or the specifics if our recommendation is for further inquiry | Monthly (or for a one-time project or differently scheduled vendor, upon request) |
| Invoice Validation Report | Provide a spreadsheet showing the results of research and analysis on each invoice line item that was reviewed, including the source of the information. | Monthly (or for a one-time project or differently scheduled vendor, upon request) |

## Report Generation

The FDGS Team generates a wide variety of vendor reporting on an on-going and ad hoc basis for OMPP Management. Currently, our Team generates weekly, monthly, quarterly reports each contract year, as well as numerous ad hoc reports on request. Our experienced and knowledgeable staff will remain flexible in providing the ongoing and ad hoc reports as needed by OMPP.

The FDGS Team has developed a rapport with both OMPP Management and their current vendors and is committed to continuing that pattern with existing and any potential new vendors. The FDGS Team has demonstrated our ability to establish relationships with OMPP vendors which facilitates identification of the data needed to produce vendor-based reports. FDGS has worked extensively with OMPP to ensure the field and formats used to present data for the various reports, including ad hoc requests, support OMPPs reporting needs. Our knowledge and expertise are highly valued by OMPP which has resulted in our staff participating in the development of additional reporting.

The FDGS Team has worked with OMPP to refine the OV&V Monthly Status Report (MSR) and Quarterly Project Assessment Report (QPAR) to include narrative and graphical information on the overall performance of the OMPP vendors. The OV&V MSR and QPAR includes, but is not limited to, the following vendor reporting information:

* Detailed metric validation findings for each vendor
* Volume and trends analysis
* Updates on Special Projects, if applicable

The FDGS Team remains committed to working with OMPP Executives to understand their reporting needs and make any additional changes in approach or report content as OMPP needs evolve.

We have provided examples of best practices and lessons learned in **Table 7** for Report Generation.

Table 7: Best Practices and Lessons Learned for Report Generation

|  | **Task or Deliverable** | **Our Experiences and Recommendations** |
| --- | --- | --- |
| **Best Practices**  A green sign with white lettering  Description automatically generated with low confidence | Ad hoc Data Requests | The FDGS Team is committed to meeting a standard turnaround time on Ad hoc report requests of less than or equal to three business days, unless otherwise discussed with and agreed to by OMPP.  By developing collaborative relationships with OMPP vendors, our team can quickly identify the data available and the vendor to contact for the data when applicable. In some instances, FDGS has become familiar with and is able to quickly access standard vendor reports.  By cultivating familiarity and understanding of OMPP’s own systems, the Data Warehouse and Cognos, FDGS can provide ad hoc reports from these sources. |
| Regularly Scheduled Reports | To ensure scheduled reports are prepared timely in agreed-upon formats, the FDGS Team cross-trains in the use of report templates, contribution collection and collation. There is a desk guide for each standard report with illustrations, screen shots and links so any FDGS Team member could assist to prepare the reports. Desk guides are updated regularly by Analysts and reviewed by Team Leads. |
| **Lessons Learned**  **C:\Users\summersk\Documents\Professional Services\Graphics\Lessons-Learned.jpg** | Anticipating Reporting Questions | Based on our experience with CMS reporting, our team has learned to anticipate the types of questions CMS will ask and can provide draft responses for OMPP to consider. |

**Table 8** is a list of the deliverable outputs and reports that the FDGS Team provides on a regular basis in addition to a sample of ad hoc reports that are provided as requested. The list of ad hoc report examples may not include every type of ad hoc report FDGS has prepared for OMPP. OMPP may request the addition, discontinuation or revamping of any listed report in accordance with the RFP and/or contract terms.

Table 8: Examples of Deliverable/Output Summary for Report Generation

| **Report Generation – Deliverable/Output Summary** | | |
| --- | --- | --- |
| **Deliverable/Output** | **Approach** | **Frequency** |
| OV&V Monthly Summary Report | Summary of OMPP OV&V Activities performed in the previous month, including supporting statistics | Last Day of Following Month |
| Ad Hoc  Reports | Reports as requested by FSSA resulting from new or sporadic inquiries during the course of business | Three Business Days Following Request |
| Schedule  Variance  Report | Report the running average deviation of actual implementation dates from those originally requested by OMPP | Last Day of Following Month |
| Estimate  Variance  Report | Report the running average deviation of actual implementation effort from those originally estimated by Gainwell | Last Day of Following Month |
| Production  Defect  Report | Listing of production defect fixes promoted to production along with summary and trended information on their size and volume | Last Day of Following Month |
| Regression  Testing  Report | Assessment of Regression Test scenario adequacy execution status, results, root cause analysis, and resolution | Last Day of Following Month |
| Claim  Performance  Report | Review of KPMs prioritized by OMPP, including:  • 60000 (Time to Adjudicate clean paper claims)  • 60005 (Time to Adjudicate clean electronic claims)  • 60010 (Time to Adjudicate all claims) as well as resolution and adjustment quality rate | Last Day of Following Month |
| System  Availability  Performance  Report | Review of availability and responsiveness KPMs prioritized by OMPP, including:  • 51350 (EVS/IVRS  99.99% Uptime 24/7/365)  • 50420 (Web Portal 99.99% Availability 24/7/365)  • 54100 (EDI Files 99.99% Availability 24/7/365) | Last Day of Following Month |
| 508  Compliance  Report | Review of 508 compliance  execution, results, root cause analysis, and resolutions:  • 50430 508 Compliance | Last Day of Following Month |

## Conduct Deliverable and Work Product Reviews

The State relies upon its vendors to provide accurate and timely reporting of their services, expecting the vendors to comply with performance metrics and quality standards set upon the execution of their contracts. Because of our experience with OMPP, the FDGS Team will continue to provide the indicated review period, insight into monitoring and reviewing vendor deliverables and work products. Our many years of experience in verification and validation, as well as quality assurance services specific to the public assistance market allows the FDGS Team to offer recommendations regarding what is best practice in deliverable development and identify which features of deliverable creation can spotlight the importance of data being shared. During our review of the completed deliverables, we can draw on our knowledge and familiarity of OMPP’s expectations and business needs to supply thoughtful and meaningful feedback. The FDGS Team’s deliverable review approach is also a valuable tool as it assists OMPP in setting performance and quality expectations for each vendor.

The FDGS Team’s Deliverable Review and Assessment approach describes the tasks and activities that FDGS will complete during reviews of vendor deliverables. Based up on the type of deliverable being reviewed, the FDGS Team will work with OMPP and the vendors to complete of one or more of the following activities:

* Actively participate in the Software Development Lifecycle of the requirements review including development meetings, functional design, System Integration and User Acceptance Testing. Our early involvement increases our understanding of the deliverable and allows for FDGS input during the development process.
* Actively participate in structured walk-throughs and reviews, as appropriate.
* Review draft deliverables and/or sections of deliverables and provide feedback and comments to the OMPP and vendor teams. Interim reviews enable the FDGS Team to identify issues in the deliverable early in the process and allows for mitigation prior to the delivery. This approach helps expedite the final deliverable review process.
* Review final vendor deliverables to document the completeness, comprehensiveness, and accuracy of the deliverable based on the requirements and standards outlined by the OMPP and provide feedback to OMPP and the vendor teams.

To facilitate a thorough review of vendor deliverables, particularly for more complex deliverables, the FDGS Team will develop checklists tailored to the specific requirements and content of that deliverable. The FDGS Team will utilize our prior OMPP OV&V experience in vendor deliverable reviews to customize the checklists. For example, we have identified discrepancies in vendor metrics during our reviews of vendor monthly status reports. Our checklist for these reports would include an item for validating the accuracy of the reported metric and documenting the discrepancies.

Our independence enables us to provide OMPP with an objective and impartial view of the project relative to quality, as well as assist in the appropriate resolution of project issues and risk mitigation. Our combined knowledge and experience, coupled with our independence makes the FDGS Team uniquely qualified to serve the OMPP’s needs for the CoreMMIS Project and beyond.

We have provided examples of best practices and lessons learned in the following table for Conduct Deliverable and Work Product Reviews.

Table 9: Best Practices and Lessons Learned for Conduct Deliverable and Work Product Reviews

|  |  |  |
| --- | --- | --- |
|  | **Task or Deliverable** | **Our Experiences and Recommendations** |
| **Best Practices**  A green sign with white lettering  Description automatically generated with low confidence | Work Instructions/Training Materials | Verify information is accurate based on State and Federal Rules and Regulations. |
| Requirements | Validate documents clearly state how the system will be programmed and verify the information documented meets the needs of the end user. |
| Vendor Monthly Reports | Confirm data reported is a true representation of the work completed, as inaccuracies have been found in the past. |
| **Lessons Learned**  **C:\Users\summersk\Documents\Professional Services\Graphics\Lessons-Learned.jpg** | Work Instructions/Training Material | Confirm document approved is the document being posted. |

**Table 10** provides examples of deliverable outputs for Conduct Deliverable and Work Product Reviews.

Table 10: Examples of Deliverable/Output Summary for Conduct Deliverable and Work Product Reviews

| **Conduct Deliverable and Work Product Reviews – Deliverable/Output Summary** | | |
| --- | --- | --- |
| **Deliverable/Output** | **Approach** | **Frequency** |
| Work Instructions/Training Materials | Review and comment based on policy rules and regulations and operational decisions. Assist OMPP with defining the content and format of the work instructions and training materials. | As Needed |
| Requirements | Review and comment based on policy rules and regulations. Follow requirement documents throughout the entire Software Development Lifecycle. | As Needed |
| Vendor Deliverables | Review and comment based on policy rules and regulations. Participate in the deliverable approval process. Assist OMPP with defining the content and format of the work instructions and training materials. | As Needed |

## Project Release Reviews

The State relies upon its vendors to weekly provide accurate and timely reporting of their services, expecting the vendors to comply with performance metrics and quality standards set upon the execution of their contracts. Because of our experience with OMPP, the FDGS Team currently provides insight into monitoring, reviewing vendor deliverables and work products via the Weekly Milestone Schedule. **Figure 9** is an example of the CoreMMIS Milestone Schedule that is produced weekly to OMPP, Gainwell and MCEs.



Figure 9: CoreMMIS Milestone Schedule

## Monthly Status Report Reviews

The FDGS Team will continue to incorporate updates from the CoreMMIS vendor, source data and systems into condensed project release review format, including notation of changes and depiction of schedule or release capacity threats. Moreover, the MSR review will continue to include but not limited to:

* Defect Reporting
* Performance Departure(s)
* Performance Trending
* Unexpected Compliance Misses

## Capitation Findings Review

In early 2017, OMPP implemented the CoreMMIS via Gainwell. As a result, the FDGS Team began reviewing an agreed upon sub-set of clams for Managed Care Capitation Payment Accuracy. This monthly review includes but is not limited to researching:

* Relevant published procedural manuals
* Relevant CoreMMIS panels themselves
* CoreMMIS OnDemand reporting
* Notice of Pregnancy
* Out of State Payments

## Provider Enrollment Monitoring

Provider Enrollment Monitoring was scope removed from OV&V purview as a result of the PHE. With the addition of the Provider Enrollment Monitoring scope, OV&V will resume gathering and providing provider details, such as payments, banking and credentialing information. Additionally, quality, efficiency and accuracy of Provider Enrollment will be documented and sent to OMPP on an as determined period.

## Claims Payment Auditing

The FDGS Team worked with OMPP and the CoreMMIS vendor to improve the Monthly Claims Quality Process. The OV&V Team currently reviews, tracks and trends the key Claims Timeliness and Quality. The currently Claims Timeliness is reviewed via the following Claim Timeliness Reports:

* CLM-0158 Suspended Claim Count
* CLM-0148-K 90 Days
* CLM-149 Electronic 14 Days
* CLM-0150 Paper 30 Day
* CLM-0006 Non-Check Adj 30 Day
* CLM-0091 Check-Related 45 Day Adj

Claim Quality is reviewed via a sub-set of claims submitted via the CoreMMIS vendor. **Figure 10** is an example of the Clean Paper Claim Adjudication trending.

**Figure 10: Clean Paper Claim Adjudication Example**

## Call Center Monitoring

The FDGS Team previously provided the Call Center Monitoring monthly. The Call Center monitoring was scope removed from OV&V purview as a result of the PHE. With the addition of the Call Center Monitoring scope, OV&V will resume trending CoreMMIS vendor Call Center details, such as Service Levels Agreements (SLAs) and compliance information. **Figure 11** is a Call Center Compliance Example.

Table

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Figure 11: Call Center Compliance Example

## Public Health Emergency Unwind Support

The FDGS Team will support OMPP in the PHE Unwind by working with the CoreMMIS vendor and OMPP to create processes, procedures, quality checks, validation results in addition to project management activities related to the PHE unwind.

## IEDSS & CoreMMIS Reconciliation Support

The FDGS Team will work with OMPP, CoreMMIS and Indiana Eligibility Determination Support System (IEDSS) vendors to conduct a full IEDSS/CoreMMIS reconciliation. Additionally, the support will include but not limited to:

* Quality Check
* Results Validation
* OV&V Project Management Oversite

## Training Review and Support

**FDGS OV&V Training Review Highlights**

* Reviewed CoreMMIS Training Materials and provided recommendations
* Monitoring training metrics such as pass rates
* Suggesting topics for additional trainings based on Case Review and Second Party Review findings

The FDGS Team is comprised of team members knowledgeable in OMPP CoreMMIS policies and practices who understand the CoreMMIS requirements. We have a history of providing valuable feedback for vendor-created training materials and we will continue providing the support you have come to expect from the FDGS Team.

The FDGS Team has the experience to verify and validate a training vendor’s:

* Training delivery methodologies and strategies, including roles and responsibilities, performance expectations, instructor/student ratios, assessment criteria, vendor communication methods, training tools and training environments.
* Training delivery schedules account for geographical diversity of the regions and proposed training delivery locations.
* Training delivery sites, facilities and equipment needed to deliver training based on approach and training schedules.
* Training delivery tracking, including using the designated Inspired Learning Management System (iLMS) tool to capture, track and report on training statistics.

We will review the:

* Identified risks and issues of training components to confirm an associated plan for mitigating and managing them has been developed.
* Training delivery approaches and techniques to determine if they appropriately address how:
  + Training will be delivered based on the potential technological and geographical constraints.
  + The vendor will maintain a student/instructor ratio to provide a conducive learning environment while accommodating:
    - Facility/ Delivery site
    - Class size
    - Delivery timing

We have provided examples of best practices and lessons learned for Training Review and Support.

Table 11 Best Practices and Lessons Learned for Training Review and Support

|  |  |  |
| --- | --- | --- |
|  | **Task or Deliverable** | **Our Experiences and Recommendations** |
| **Best Practices**  A green sign with white lettering  Description automatically generated with low confidence | Review of draft training materials for CoreMMIS Implementation, ongoing maintenance releases and State and Federal rules and regulations | The FDGS team has supported OMPP with training monitoring since 2009, through updates with the legacy system all the way to implementation of CoreMMIS. This includes supporting changes in federal and state policy.  We have experience with OMPP system requirements reviews, which provides insight as to key points needed in the training.  Because of our history with OMPP, we have gained first-hand knowledge and insight into business practices and MMIS systems/ work. This means we provide sound recommendations for training materials other companies cannot. |
| **Lessons Learned**  A picture containing website  Description automatically generated | Feedback of training observations | The FDGS Team’s involvement with past vendor training reviews enhances our ability to share valuable insights and observations that can assist OMPP with preparing staff to serve the residents of Indiana. |

**Table 12** provides examples of deliverable outputs for Training Review and Support.

Table 12: Examples of Deliverable/Output Summary for Training Review and Support

| **Training Review and Support – Deliverable/Output Summary** | | |
| --- | --- | --- |
| **Deliverable/Output** | **Approach** | **Frequency** |
| Vendor Training Recommendations | Review training material for accuracy  Identify and document discrepancies  Review and monitor Eligibility training schedules  Attend, observe and evaluate training classes and sessions | As Needed |
| CoreMMIS Training Recommendations | Participated in CoreMMIS training design and development  Provided observations and recommendations CoreMMIS training schedule | As needed  One time |

## Meeting Facilitation and Participation

The FDGS Team will provide meeting support to OMPP by facilitating meetings, acting as the scribe, developing reports for the stakeholders and OMPP, developing exhibits and/or presentations, as necessary. The FDGS Team has demonstrated wisdom and experience in attending and participating in various internal and external meetings as required by OMPP.

Our general approach to preparing for meetings follows the steps defined here:

* **Define Purpose** – The FDGS Team will collaborate with OMPP to clearly understand the detailed purpose and format of the meeting. This is critical to preparing materials that meet the needs of the attendees and helping to support OMPP goals.
* **Define Audience** – We will work with OMPP to understand the audience and any meeting support materials such as reports or presentations. This will include the level of staff attending (or reading the report) as well as any issues especially important to them.
* **Prepare Draft Materials** – The FDGS Team will prepare draft materials for the meeting such as agendas and report or presentation materials. We will use standard report and presentation tools such as Microsoft PowerPoint, Excel, and Word to create visually oriented materials that are easy to digest without requiring substantial amounts of detailed documentation.
* **Review with OMPP** – Before providing management reports or presentations to the intended audience, we will review the materials with the OMPP Management Team to obtain feedback and address any needed edits.
* **Delivery** – The FDGS Team facilitates the meeting and delivers any accompanying reports or presentations.

The FDGS Team will, as directed by OMPP, facilitate meetings on behalf of the state. This includes the following activities:

* Developing and distributing agendas
* Scribing meeting minutes
* Tracking action items
* Distributing and/or archiving all meeting documents

The FDGS Team is immersed in the daily use of MS Teams for video and audio meetings across OMPP, its vendors, FSSA, FDGS and the State’s allies as appropriate. For special projects, FDGS has requested OMPP establish dedicated channels for project stakeholders to chat, meet, share documents and more.

## System Change Control Support

As a key component of any successful project, the Change Control process must be described, well-communicated and understood to implement, assess and evaluate its ongoing effectiveness. Modifications to a project’s scope, schedule or cost can result from changes that exist within the control of the project as well as outside of the project’s control such as rule and policy changes. Regardless of the point of origin for change, it is imperative that the project includes processes for identifying, analyzing, documenting and managing change.

The overall change control process includes the following major processes:

* Understand the change source
* Define control items
* Capture and monitor changes
* Verify changes are reviewed, agreed to and approved
* Confirm control items are updated
* Confirm approved changes are communicated

The FDGS Team will review the current Change Control process and identify any enhancements in collaboration with the OMPP.

### Regression Testing Support

FDGS will continue to provide Regression Testing Support to OMPP. Regression Testing Support includes the following major processes:

* Understand the changes made to CoreMMIS existing functionality
* Track and monitor defects and defect resolution
* Summarize OV&V Findings

### Monitor POA Process

The FDGS Team currently monitors all Plan of Action (POA) activity for OMPP for accuracy and the required documents are provided when the POA is submitted to the State for approval. **Figure 12** is an example of the Monitor POA Process.



Figure 12: POA Process Example

# Reporting

No other bidder can claim the experience and knowledge of the fields and formats needed to present the data for all of the required standard reporting and potential ad hoc reports. Should OMPP choose to remain with FDGS, you receive the benefit of avoiding the risk of transition to a new provider. Additionally, FDGS will make sure that CoreMMIS OV&V functions maintain continuity. The FDGS Team will generate a variety of reports on an on-going basis for OMPP management. We know one of the main challenges OMPP faces with multiple Vendors supporting the program is that comprehensive overview becomes difficult for State leadership when multiple Vendor reports are submitted. Hence, the FDGS Team is critical to providing reporting with the CoreMMIS Vendor Reports and our Monthly Status Reports (MSR), Quarterly Project Assessment Reports (QPAR) and other ad-hoc reports to provide OMPP stakeholders unified views of OV&V and Vendor activities. The FDGS Team has experience and expertise in preparing and submitting all the reports listed in Section 6.0 through 6.4 (Attachment K) in the RFP SOW. The FDGS Team has experience working with OMPP and is committed to working with OMPP to customize the reports to fit OMPP needs. The reports produced by the FDGS Team include but are not limited to:

* **OV&V Monthly Status Report (MSR)** – provides a summary of OV&V work, meetings and activities completed for the prior month
* **OV&V Quarterly Project Assessment Report (QPAR)** – provides a focused OV&V analysis of contractor performance
* **OV&V Daily Cycle Report**-provides a monitoring of the daily system cycle activity for the MMIS vendor.
* **OV&V Systems Availability Report**-provides a record of systems outages, notification, and compliance verification.
* **508 Compliance Report**-provides monitoring and verification of the MMIS vendor is 508 Compliance.
* **MES Milestone Schedule Report**-provides tracking and status of Modification Change Requests MCE (Managed Care Entity).
* **Managed Care Capitation Report**-provides overview of Managed Capitation activity, rates, and expenditures.
* **Claims Timeliness Report**-provides verification of the MMIS vendor claims processing and adjudication activity regarding compliance, vendor claims processing and adjudication activity regarding compliance.
* **Organization Chart Tracking Report**-provides review and verification of vendors on various projects and appropriate billing of those resources.
* **Monthly Staff Reporting**-provides verification of vendor billing of actual hours.
* **Mod Pool Billing Report**-provides monthly review of vendor modification billing, Plans of Action, and SDLC verification of those Change Requests.
* **State POA (Plan of Action) Review Status Invoice Report**-provides a review of vendor POA hours.
* **Remaining SFY 2022 Budget by CR Projected Month Report**-provides a review of POAs and CRs added for the particular month.
* **OV&V Monthly Provider Enrollment Timeliness and Pre-Enrollment Site Survey Report**-provides review and verification of Provider Enrollment Timeliness and Pre-Enrollment Site Surveys.
* **Provider Enrollment Quality Assessment and Tracking Report**-provides review and verification of Provider Enrollment Criteria, Validation, QC, ATNs Closed, and Error Counts.
* **Provider Enrollment Statistics Report**-provides statistical tracking of KPMs related to Provider Enrollment Turnaround Time and Provider Enrollment Quality.
* **Provider Statistical Workflow Report**-providers review and tracking of Provider Enrollment document inventory.
* **Risk Register Excel Based**-provides review and risk tracking and control following the progress of the risk and its probability, as well as the status of any mitigation and contingency strategies that have been executed.
* **Ad-hoc Reports** – contains data specific to the ad-hoc request.

FDGS utilizes a common template for written reports, emphasizing important and dynamic information and working to improve ease of comprehension and the ability to use the information by presenting tables, charts and figures to illustrate data trends and findings. The FDGS Team intends to continue to work with OMPP leaders to further develop reports as they request, and to look for opportunities to propose updates, additions, and alternate presentation formats so these reports remain useful and support OMPP’s goals and mission.

Our standard approach to all continuing reports is to develop and keep on file a comprehensive Desk Guide and Template for each report. These documents are stored on the State-hosted SharePoint with FDGS Team training materials. They are periodically reviewed and updated as reports may evolve and change through our work with OMPP. These guides have illustrations, screen shots, links and instructions to allow staff to back each other up on report tasks so reports are always submitted on time and in agreed-upon formats.

## CoreMMIS Vendor Reports

The FDGS Team currently submits CoreMMIS Reporting via the examples below. The examples below are a sub-set of CoreMMIS reporting examples:

### Schedule Variance Report

The FDGS Team currently track the monthly running average deviation of project implementation from the originally requested date set by OMPP.



Figure 13: Schedule Variance Report Example

### Estimate Variance Report

The monthly Estimate Variance reporting is currently reporting via the Scheduled Variance Report (see Table 16) and includes the actual project implementation date and any deviation from the originally estimated CoreMMIS vendor dates.

### Regression Testing Report

The FDGS Team currently reviews the Regression Testing Quarterly Results from the CoreMMIS vendor to ensure that new changes made to CoreMMIS do not break or affect the existing functionality. In addition, this reporting includes test scenario adequacy and execution status. The FDGS Teams findings are submitted to OMPP and the CoreMMIS vendor with the results then uploaded to the state SharePoint site.

### Claim Performance Report

Monthly the FDGS Team reviews CoreMMIS Claims statistics for accuracy, trending and deviation is compliancy. **Figure 14** is an All-Claim Adjudication example.

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Figure 14: All Claim Adjudication Example

### System Availability Performance Report

The FDGS Team currently reviews, compiles and trends CoreMMIS System Availability Performance date. **Figure 15** is a System Availability Performance Web Portal Example.

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Figure 15: System Availability Performance Web Portal Example

### 508 Compliance Report

The FDGS Team currently reviews, compiles and trends CoreMMIS System Compliance. The FDGS Team currently proves quarterly update to OMPP reporting the compliance, results and if applicable, any Root Cause Analysis (RCA) resulting from non-compliance.

### Provider Enrollment Operations Reports

Provider Enrollment Reporting was scope removed from OV&V purview as a result of the PHE. With the addition of the Provider Enrollment scope, OV&V will resume review of required recertification and provider enrollments.

## Monthly Status Report

The OV&V MSR provides a summary of OV&V work, meetings, accomplishments, observations and activities completed for the prior month. It also includes some information regarding trends observed over time in work volumes and results. The content and format for the report is developed in collaboration with OMPP. At present, this report is presented in sections by FDGS OV&V Team Project Manager, and by each OMPP Vendor monitored.

As required by the RFP-23-72023, Attachment K, Scope of Work, Section 6.2, we include a section for each of the cited topics showing the work performed and activities completed in the prior month.

If OMPP were to implement a requirement for any additional Vendor to submit an MSR, such as the Pharmacy Vendor Manager (PBM) Vendor or the Electronic Data Warehouse (EDW) Vendor, the FDGS Team would expand the Vendor Metric Compliance Tracking Summary to include the new Vendor metrics and add a section to the body of our MSR to cover any observations and any OV&V activities involving the new Vendor.

As illustration, **Figure 16** presents Table of Contents the FDGS Team currently includes in the OV&V MSR for OMPP on the project.

|  |  |  |  |
| --- | --- | --- | --- |
| Date | Version | Responsible | Reason for Revision |
| 01/31/2022 | 1.0 | Michael Simms | Monthly Reporting |
| 2/28/2022 | 1.0 | Michael Simms | Monthly Reporting |
| 3/31/2022 | 1.0 | Michael Simms | Monthly Reporting |
| 5/4/2022 | 1.0 | Michael Simms | Monthly Reporting |
| 5/31/2022 | 1.0 | Michael Simms | Monthly Reporting |
| 6/10/2022 | 1.1 | Michael Simms | Monthly Reporting Revised |
| 6/30/2022 | 1.0 | Michael Simms | Monthly Reporting |
| 7/29/2022 | 1.0 | Michael Simms | Monthly Reporting |

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Figure 16: OV&V MSR Table of Contents

## Quarterly Project Assessment Reports (QPAR)

The QPAR focuses on the FDGS Team’s analysis of Vendor performance and provide insights to the State as to the overall quality and progress of the project. To produce the QPAR, the FDGS Team conducts daily oversight activities such as:

* Review of overall Vendor quality that includes independent reviews, Vendor documentation reviews, Vendor Regression Testing reviews, Claims reviews, Managed Care Capitation reviews, Vendor deliverable reviews, Vendor SDLC checklist reviews, Vendor Org Chart reviews, Vendor quality metric reviews
* Monitoring and reporting on Vendor performance metrics regarding Systems Availability and KPM compliance
* Review of Vendor documentation such as work instructions and Vendor reports when applicable.
* Review of Vendor invoices and comparison to contractual requirements, when OMPP has requested FDGS undertake this work.

The content and format of the QPAR will be developed in collaboration with OMPP.

## Ad-hoc Reports

The FDGS Team’s extensive policy and process experience is vital in understanding the data needed to develop ad hoc reports for OMPP. Our Team has established strong, collaborative relationships with the OMPP and their Vendors which facilitates the identification of the data needed to produce the required reports and knowing which Vendor to contact for the data or system to query, such as CoreMMIS, OnDemand, IHCP SharePoint, Jira, Confluence and the Enterprise Data Warehouse (EDW). Due to our experience, we also understand the fields and formats needed to present the data for various ad hoc reports. Our knowledge and expertise are highly valued by OMPP which has resulted in our staff participating in the development of CoreMMIS reporting.

# Offices

FDGS agrees to the following requirements related to offices.

Table 13: FDGS Response to Office Requirements

|  |  |
| --- | --- |
| **Requirement** | **FDGS Response** |
| 1. The Contractor must have a dedicated office or field office within ten (10) miles of the FSSA offices located at 402 West Washington Street, Indianapolis, IN 46204. 2. In lieu of space furnished by the Contractor, the State reserves the right to, at its discretion, furnish space for the Contractor in lieu of paying the Contractor for this expense. This could include space furnished by OMPP at the Indiana Government Center or at a location leased by the State (e.g., an E&O field office). Changes to an agreement between the Contractor and the State shall be reflected in total costs.   Accordingly, the Contractor may propose a cost associated with this office in its Cost Proposal (see Attachment D). However, the State may, prior to April 1, 2022, elect to provide space for the Contractor and not pay this expense. The State may, at its sole discretion, may make a final determination in this regard prior to April 1, 2022. | 1. FDGS agrees to have a dedicated office or field office within ten (10) miles of the FSSA offices located at 402 West Washington Street, Indianapolis, IN 46204. 2. FDGS agrees to utilize space furnished by the state in lieu of paying FDGS for this expense.   FDGS understands we may include a cost of offices in our Cost Proposal (Attachment D) but will utilize space provided by the State if so elected. |
| 1. The Contractor shall supply its own computers and software for its team, regardless of their office location. The Contractor must comply with all applicable IDOA policies regarding Contractor provided technology. | FDGS agrees to supply our own computers and software for our team, regardless of their office location. FDGS agrees to comply with all applicable IDOA policies regarding Contractor provided technology. |
| 1. Contractor’s team will be made available, as requested, to present on-site at the FSSA offices as needed, regardless of the principal location of the Contractor’s team members. | FDGS agrees our team, as requested, will be present on-site at the FSSA offices, as needed, regardless of the principal location of our team members. |

# Project Management

This section focuses on the FDGS Project Management approach and methodology for the OV&V Project.

**FDGS OV&V Project Management Highlights**

* Continuing the FDGS partnership provides OMPP with a uniquely experienced team that deeply understands your business
* The FDGS **project management methodology has been used successfully for over 12 years on the OMPP OV&V project**
* Utilization of Microsoft Office 365 provides increased flexibility, collaboration and automation opportunities

Since 2009, the FDGS Team has stood by OMPP in its quest for quality improvements in eligibility modernization and operational excellence. During these 12 years, we have formed invaluable relationships with the State’s Team and the State’s eligibility and systems vendors. We have collaborated throughout our engagements with the Indiana Team and have adapted the delivery of OV&V services based on your requests and our knowledge of the Indiana landscape. We have continually focused on the project’s objectives and continue to advocate for attainment of OMPP’s goals.

Like no other bidder, we know firsthand the unique challenges you experience, the hidden risks within the projects the State is pursuing and the technology, strengths and weaknesses of the projects’ resources. This FDGS Team, which you know well, will remain in place to see your initiatives through to their successful completion.

A continued partnership between Indiana and FDGS will sustain the momentum for current projects and afford seamless transition to new initiatives in the future. FDGS will significantly mitigate risks that introducing a new OV&V vendor would otherwise create, including but not limited to:

**A new vendor will lack the understanding and knowledge of the State’s complex operational processes and systems.**

Our team understands firsthand the complexity inherent in coordinating program and project scope across the multitude of vendors engaged by OMPP. Most offerors have experience only in developing and implementing singular systems and/or processes but FDGS has worked with the multiple OMPP systems, vendors and processes and have worked to continually refine our OMPP support processes to remain responsive and innovative which make us the best equipped to continue to provide OV&V services.

**A new vendor would cause a business disruption while orienting them to the project.**

Due to our long-term OMPP experience, we do not just “hit the ground running”—we are already halfway through the race, which makes us uniquely qualified to continue to perform these services. We have established relationships with the state leadership, staff and vendors. There will be no “learning curve” with our team. Our team is trained, experienced and has the tools to continue to meet OMPP’s needs.

**Vendor performance uncertainty.**

The FDGS Team, led by Mr. Michael Simms (Project Manager), is performing to the levels of quality OMPP expects. Our leadership team meets with OMPP Management regularly to validate our project staff perform at or beyond your requirements. In contrast, there is no way to know how a new vendor would perform until they are already on the job.

**High Lead Time (time and cost).**

FDGS understands the “hows,” “whys” and the basis of OMPP’s decisions. We also understand OMPP’s focus on getting it done right and on time. As your OV&V vendor, our purpose continues to be to provide independent and objective analysis on how well OMPP vendors conduct their activities. Not having to “learn” (which, at a conservative estimate, takes two to three months) about the current project will afford OMPP an expedited process to continue the work at hand.

FDGS is the right partner to assist you in your continued operational goals. We understand the business and technical architectures, the cultural landscape and the strategic vision of OMPP. Your operational risks will be effectively mitigated by re-selecting the FDGS Team.

FDGS Center of Excellence & Innovation

In support of transitioning to new initiatives requiring our OV&V services, the FDGS Team will have access to both our existing FDGS Center of Excellence (CoE) and our new Center of Excellence & Innovation (CoE&I) which provides best practices, tools and templates around a variety of communities such as Project Management, IV&V and Quality Assurance. The new FDGS CoE&I uses the Microsoft Office 365 toolset, which provides improved communications, collaboration and business continuity.

For OMPP, all the practice areas in our existing CoE and the planned communities in our new CoE&I will bring to bear a vast repository of tools and templates that enhance project delivery. The tools, templates and methodologies we use on our projects are a based-on industry best practices and our decades of project experience, specifically created for use on Health and Human Services projects.

FDGS East Region Lunch Roundtable

FDGS also holds an East Region Lunch Roundtable (ERLR) to share information between our consultants on different projects. We discuss project highlights, program and federal updates, and tools, tips and tricks. Based upon our experience with federal agencies on many human services projects and our continued focus on the current CMS, ACF, and FNS policy and guidance, we understand the OMPP requirements for verification and validation of your operations project. This has led to a solid foundation of dynamic tools and methodologies that are aligned to industry standards but are flexible enough to apply across multiple programs.

We look forward to continuing to apply our mature library of assets, honed by our experience and industry knowledge, to the OV&V project.

By implementing tools and templates that have already proven successful, the FDGS CoE, CoE&I and ERLR provide techniques and assets to the OMPP OV&V project team that allow them to remain effective and efficient in their day-to-day activities. Several of our service offerings bring specific benefits to our teams that are important to the OV&V project. The following examples are just a few of those benefits available to our FDGS Team.

* **Project and Fiscal Management** –our Project Management practice maintains guidance and best practices based on the Project Management Institute’s Project Management Body of Knowledge (PMBOK, 7th edition). Instead of developing new tools for these projects, the CoE and CoE&I provide proven templates and techniques that are tailored specifically for use at OMPP.
* **Project Management Tools** –the PM CoE and CoE&I continually enhance the tool sets available to our project teams. Additional tool enhancements allow for evaluating project performance metrics and trending for factually reporting resource constraints, missed milestones and critical path issues.
* **Funding Requests** –our Strategic Planning practice continually enhances support for the funding request processes at the federal level. Our CoE&I leaders monitor the different agencies to provide current guidance to our project teams on the different requirements for the APD, IAPD, PAPD and update processes. Pulling from our library of previously created documents across multiple programs provides a reusable set of content to evaluate and expedite the next required planning document.
* **Industry Standards** – our CoE and CoE&I maintain accessible libraries of various industry standards from IEEE, ISO, CMMI, PMI, ITIL and others. Many of these are specific to IT development and maintenance within government and are incorporated directly into our various methodologies and templates.
* **Verification and Validation** –our Quality Management practice provides assets for our teams across Quality Assurance, Verification and Validation (V&V), and Testing. The FDGS Teams can access tools already developed for use at OMPP as well as quality and performance metrics, checklists covering the entire SDLC, tracking tools and management plans that are regularly enhanced according to federal requirements and our own experience and lessons learned.
* **Standard Assessments** –State agencies require many different types of assessments across their enterprise. We have developed unique checklists and methods for the various technical, security, operational, risk and overall needs assessments. Our consultants can customize the approach for each agency and assessment, while also taking advantage of the standard set of activities and plans needed to conduct an expedited, but thorough, assessment as required.
* **Program Center** – Our CoE and CoE&I provide program details, training material, policy, guidance and white papers regarding the various health and human services programs. These include Integrated Eligibility (TANF, SNAP and Child Care), Medicaid Enterprise Services, Child Support, Child Welfare and the Affordable Care Act. Our business development leaders in each program focus on their respective program area to provide continuous enhancements and training to our consultants, including our FDGS Teams in Indiana.

The FDGS Team provides project management oversight for CoreMMIS operations on behalf of OMPP, including but not limited to the activities in **Table 14**.

Table 14: FDGS Approach to OMPP Vendor – Project Management

| **Activity** | **Description of OV&V Activity** | **FDGS Approach** |
| --- | --- | --- |
| **Project Change Control Support** | * Provides project management oversight over the eligibility operations * Identifies project risks, proposing risk mitigation strategies, and tracking risk resolution * Reports overall vendor status and metrics in the Monthly Status Report (MSR) and Quarterly Project Assessment Report (QPAR) | FDGS provides project management oversight including but not limited to:   * Overseeing ad-hoc projects * Managing software tools used to track the project * Communicating project status information to OMPP * Incorporating PMI methodology * Tracking and prioritizing risks |
| **Project Risks and Issues Support** | The FDGS Team will review the current Change Control process and identify any enhancements in collaboration with the OMPP. | The overall change control process includes the following major processes:   * Understand the change source * Define control items * Capture and monitor changes * Verify that changes are reviewed, agreed to and approved * Confirm that control items are updated * Confirm that approved changes are communicated |
| **Proposed Test Plans and Test Cases Support** | The FDGS Team will participate in all activities related to the development of test plans and test cases and provide feedback for OMPP. | * Conducts a thorough review of proposed test plans and test cases developed by the vendor * Closely monitors the progress of tests planned versus those that are executed * Monitors the priority and resolution of each outstanding defect * Contribute to Smoke Testing once a maintenance release has been deployed into the production environment, searching for possible defects * Report overall vendor status and metrics in the Quarterly Project Assessment Report (QPAR) * Provide feedback, if necessary, to “Lessons Learned” after each maintenance release to enhance the productivity of future deployments |
| **Steering Committee Support** | The FDGS Team can and will assist in the management of the Steering Committee | * Coordinates steering committee meetings with the services and systems vendors as requested * The FDGS Team assists in the facilitation and scribing for the Steering Committee |

**Table 15** provides examples of best practices and lessons for OMPP vendor – Project Management – vendors.

Table 15: Examples of Best Practices and Lessons Learned for OMPP Vendor – Project Management

|  | **Task or Deliverable** | **Our Experiences and Recommendations** |
| --- | --- | --- |
| **Best Practices**  A green sign with white lettering  Description automatically generated with low confidence | Smoke Testing | When a Maintenance Release is scheduled for deployment, the FDGS Team, along with other vendors, is ready and able to participate in Smoke Testing that allows the select few individuals to review the system to determine if the implementation was successful and no problems have arisen as a result of said implementation. If problems do arise, the Smoke Testing group will have the ability to fix the defect found prior to production starting the following business day. |
| **Lessons Learned**  **A picture containing text  Description automatically generated** | Lessons Learned w/Partner Feedback | After each Project Release (PR) has been deployed and no defects are found from deployment, the PR is considered complete and Lessons Learned are documented and sent to everyone that participated in the PR process. The document asks for what went right, what went wrong, and what could be done better to improve the process for the next release. When there is feedback to be presented, the FDGS team provides the information to all vendors involved in the PR process. |

**Table 16** provides examples of deliverable outputs for Project Management - vendors.

Table 16: Deliverable/Output Summary for OMPP Vendor – Project Management - Vendors

| **OMPP Vendor - Project Management – Vendors – Deliverable/Output Summary** | | |
| --- | --- | --- |
| **Deliverable/Output** | **Approach** | **Frequency** |
| OV&V Executive Briefing | Provide a briefing deck to OMPP Director with current project management - vendor activities and status. Include any identified risks and issues. | Monthly |
| Status Meeting with OMPP | Discuss current OV&V activities, activity status, any identified risks and issues, accomplishments and associated with project management – vendors. | Monthly |

## Transition from Incumbent

As a long-time trusted vendor for OMPP, FDGS would love to continue our work with CoreMMIS stakeholders. In the event a new OV&V vendor is selected, FDGS will submit for State approval a master work plan for transition should a transition be necessary. If applicable, this Plan will be submitted at least forty-five (45) days before the project go-live date of the contract. FDGS recommends a transition period of no less than three (3) months to accommodate the collaborative development of all deliverables including the Quarterly Project Assessment Report.

If applicable, FDGS will work collaboratively with the future Contractor and OMPP to mutually agree upon the transition schedule, review the proposed transition plan and make any applicable updates.

Our Transition Plan will, at a minimum, address the following:

* A Project Work Plan including
  + Schedule with start and end dates for all tasks and deliverables
  + Task dependencies
  + Resource Allocations, including any state staff
  + Training Schedule
* A RACI Matrix
* Stakeholder Management and Communication approach
* A traceability matrix tracking the transition of all Contract/SOW requirements from FDGS to the future Contractor
* All tasks, deliverables, schedules, task dependencies, and touch points with FSSA, IOT, and other State resources
* Transition of Business Process flows
* Transition of the custody of the Data Warehouse
* A Transition Risk Management approach as well as the transfer of the existing Risk Management Matrix
* Security management approach
* Disaster recovery and business continuity approach
* Integration and implementation of business operations, to achieve full operational capabilities on or before the start of this Contract (1/1/2023)

## Steady State Management

The complexity and dynamic nature of CoreMMIS projects and vendors makes effective project management a mandatory ingredient for success. The FDGS Team employs two primary plans to coordinate, manage and monitor our projects: the Project Management Plan and the Work Plan.

* The Project Management Plan (PMP) details how the FDGS Team will manage the OV&V Project on a day-to-day basis. The PMP describes our processes for governance and the management of resources, issues and risks, subcontractors, communications, performance measurement, quality assurance including change control, and other aspects of effective project management. The FDGS PMP aligns with PMBOK standards.
* The Work Plan describes how the FDGS Team will manage the OV&V CoreMMIS task as described in the RFP. The FDGS PMP/Work Plan has been used on the OV&V Project for 12 years with minimal requests for changes from the OMPP stakeholders. Our plan is to continue to work collaboratively with OMPP to enhance the PMP with updates that are relevant to this engagement. FDGS is confident this approach will provide the best value for OMPP.

The FDGS Team will submit a draft PMP for approval at least 30 days before any new initiative starts. FDGS will periodically update and refine the PMP, and the additional plans mentioned above, to reflect changes or evolving best practices over the course of the project. The following sections will focus on the PMP and how we coordinate, manage and monitor our projects.

Overall Project Management Approach

This section describes the overall approach, procedures, techniques and tools FDGS uses in executing the OV&V Project based on our proven management methodology. From both our experience on the OMPP OV&V Project and our numerous and wide range of government projects, we have found the keys to project management success include:

* **Providing the right team** – skilled in project management and specific program areas with sound subject matter expertise.
* **Providing an understanding of the business problem** –given the critical nature of the project, it is imperative to provide leadership assistance in prioritizing the work and maximizing productivity.
* **Providing best practice solutions** –based on individual customer requirements, we provide a proven set of methods, tools and procedures that can be customized to each project.
* **Creating a partnership** – provide the professionals and experience to validate the project success criteria and stand with the client throughout the project to reach your goals.
* **Mitigating Risk** –through our experience and commitment, we can add value and assist OMPP management in making informed decisions regarding risk mitigation, risk control and project planning.
* **Credentials** –a national government practice with highly skilled professionals who have worked on engagements in nearly every state. This depth of experience has led to the development of a comprehensive methodology for managing and executing successful large-scale projects.

To successfully meet the goals and objectives of the OV&V Project, efficient project administration and effective communications are paramount. The FDGS Team understands the relationship between the technical and business dimensions of large-scale projects, which are inherently complex. We offer capabilities that allow clients to mobilize resources quickly, strategically align project tasks with business needs and execute technical initiatives in a timely, cost-effective fashion. In doing so, we enable organizations to address the risks and anxieties associated with these types of endeavors and create a framework for approaching the project with confidence.

Our approach for effective project control is also based on the application of proven industry standard techniques and methodologies derived from three primary sources:

* **The Project Management Institute’s (PMI®) Project Management Body of Knowledge (PMBOK) Seventh Edition** –The PMI is project management’s leading global professional association and, as such, it administers a recognized, rigorous and proven project management methodology.
* **The Institute of Electrical and Electronics Engineers, Inc. (IEEE)** – The IEEE was created to help advance global engineering processes and to foster technological innovation. FDGS regularly applies IEEE standards, particularly Verification and Validation (V&V) standards to our Project Management efforts.
* **The Software Engineering Institute (SEI)** – The Capability Maturity Model Integration (CMMI) provides a mechanism for assessing an organization’s software development effort against industry best practices and offers a framework to enable an organization to improve its software development and management capabilities. The focus is on achieving well-defined, repeatable processes. CMMI process improvement strategies are achieved by determining current process maturity, identifying the issues most critical to quality, implementing rigorous processes and metrics and verifying all staff is thoroughly trained.

**Project Management Methodology**

Our proposed project management methodology supports four fundamental objectives. These objectives must be clearly understood before any attempt is made to define a comprehensive program for administering project planning, defining control methods and developing project management procedures. These four objectives are:

* **Effective Communications** –Communicating issues and progress timely and accurately to all project participants throughout the duration of the project.
* **Dynamic Project Management** – Estimating, planning, organizing and managing the work to confirm quality work products are delivered on schedule and within budget.
* **Proactive Quality Management** –Building the processes for evaluating progress, work products and work processes to deliver products that meet business objectives, client expectations and project requirements to prescribed quality standards.
* **Comprehensive Risk Management** – Defining the processes for anticipating, assessing, and mitigating project risk areas. The proven practices our staff have developed over years of successfully conducting similar projects enable us to anticipate various types of risks and incorporate procedures to avoid or minimize areas of risk.

The overall project management methodology is structured to meet these four objectives, as illustrated in **Table 17**.

Table 17: Techniques and Tools of the Project Management Objectives

| **Objectives** | **Techniques** | **Tools** |
| --- | --- | --- |
| 1. Effective Communication | Communication and management reporting | Standardized report formats  Communication plan with appropriate contact points and escalation procedures  Monthly status reports  Document tracking system for procedures and reports |
| 2. Dynamic Project Management | Planning and organizing work  Documentation standards  Estimating and administering the work effort for the project  Managing project resources  Establishing project controls  Formalizing Change Control | Project Management Plan (PMP) to establish standards and procedures  Microsoft Office 365 to support email, team collaboration, dashboards and the development of deliverables and presentations  Resource allocation and scheduling plan and procedures  Change Control procedures and approval process |
| 3. Proactive Quality Management | Establishing standards and approved conventions for QA/QC  Issue Identification  Scope/Change Control Management | Quality Checklists and Templates  Scheduled Quality Assurance checkpoint reviews  Quality Control work product evaluations  Issue Tracking System  Established change control, change approval and communication procedures |
| 4. Comprehensive Risk Management | Identifying and anticipating all components of risk: managerial, political, technical, and financial  Developing risk evaluation and mitigation strategies from project outset  Conducting ongoing risk assessments | Standardized risk assessment templates  Standardized assessment categories  Best Risk Management practices from prior projects  Ongoing risk monitoring (risk triggers) included in the project status reports |

Project Management Tools

With our proposal, FDGS is offering a dynamic project management framework utilizing the Microsoft Office 365 suite of tools (for example, Microsoft Teams, SharePoint, Power Automate and Power BI) that provides greater flexibility and integration to support the OV&V services in meeting OMPPs needs. In addition to capturing, tracking and monitoring project activities, the utilization of SharePoint and Power BI provides dashboard reports and graphics to enhance and support summary activity information for reporting. Traditionally, processes and development of reports are a manual, time-consuming process of collecting data from several sources to sort, analyze and define the data for reporting. The addition and implementation of our proposed project management suite of tools will provide consistency, efficiencies and expedience for the OV&V Project.

**Table 18** describes the high-level features and functionality of the Microsoft Office 365 and the benefits for the OMPP OV&V Project.

Table 18: Project Management Tool Features and Functionality

| **Features and Functionality** | **Benefits** |
| --- | --- |
| Structured data/single point of reference | Enables consistency in entry of data and single data repository |
| Standard Request Forms | Affords increased productivity through standardization  Eliminates unstructured data entry  Leverages PM framework/best practices across projects  Provides standardized categories and subcategories  Includes the ability to notify assignee/PM or any other project role by email when requests are created, assigned or completed  Provides the ability to attach documents to project requests for one source of information  Allows viewing, reporting and tracking of project requests |
| Dashboards | Enables a reduction in administrative time to collect project data and manually build status reports  Provides executive visibility into project activity, status, risks, KPMs and more  Includes filtering capability  Provides access to the data tables used to create the visualizations  Includes the functionality to export to Microsoft Excel or PDF for easy distribution |
| Real-time collaboration and communication | Improves team productivity and provides better visibility into the project activity, status and key indicators |
| Integration with multiple exporting options | Includes flexibility for reporting |
| Audit Logs | Provides audit trails |
| Accessible via desktop and mobile devices | Allows monitoring of data from multiple devices |
| Supports multi-factor authentication | Includes verification and validation controls |
| Preconfigured project roles with standardized access | Includes the ability to restrict and grant access |

FDGS recommends utilizing the features in the tool set for the traditional project management functions for tracking and reporting such as:

* Change Control
* Issue Resolution
* Risk Management
* Key Performance Metrics

The following screen shots are examples of the types of forms and dashboards available. FDGS will collaborate with OMPP on the content of the forms and dashboards.

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**Figure 17: Risk Request Form Example**

Graphical user interface, application

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**Figure 18: Example Risk Dashboard**

**Graphical user interface, application

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**Figure 19: Example Issue Dashboard**

Graphical user interface, application

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**Figure 20: Example KPM Dashboard**

Each dashboard also includes filtering functionality via the use of sliders that can be set for month(s), quarter(s) and year(s).

## Communication Plan

Effective communication encompasses information exchange and dissemination both internally to all project participants and externally to all parties with a vested interest in project progress. Clear and concise communication processes and methods are essential to any project. Several key factors significantly contribute to the effectiveness of communication:

* **Awareness** – Communication about the project’s scope, roles and responsibilities, and status must occur. Stakeholder communication efforts should focus on information that contributes to the success of the project or addresses the lack of communication that can lead to failure. If stakeholders are not properly informed of the project’s objectives, issues, outcomes and progress, they will not be prepared for the changes transition will bring, nor will they adequately understand or support those changes.
* **Timeliness** –Information must be shared in a timely manner to give stakeholders the opportunity to understand the information and the chance to respond.
* **Content** –Communication content must be relevant, meaningful, timely and at an appropriate level of detail for the intended audience. Expectations should be clearly communicated to confirm the proper feedback is received. Communication strategies should also be based on stakeholder needs and feedback.
* **Format** –All communications must be developed and delivered in a format that is efficient, understandable and easily accessible.
* **Consistency** –Project communications should be developed and delivered in such a way that promotes continuity to stakeholders and external agencies.

Development of a Communication Plan is critical for defining the methods by which communications will occur throughout the project lifecycle. The purpose of the Communication Plan is to identify the methods of exchanging information between OV&V Projects and project stakeholders. FDGS understand that a Communication Plan is required for OMPP with other project stakeholders.

The FDGS Team will review the current Communication Plan to identify potential enhancements and will coordinate updates as appropriate. At a minimum we will review the following for the Communication Plan to assess any gaps or changes:

* Identify key points of contacts
* Assigned roles and responsibilities
* Current scheduled meetings
* Attendees and contact information
* Frequency of communication
* Media utilized for communication
* Structure for periodic written updates

The FDGS Team will submit the draft Communications Plan for approval at least 30 days before the project start of the new initiatives.

## Issue Resolution Plan

The FDGS Team’s issue management methodologies describe how issues will be identified, documented, validated, analyzed, tracked, escalated and resolved. As project issues are identified, they are managed, controlled and resolved through the issue management process. The process verifies proper oversight and management of issues. We will work with OMPP to review our standard issue management process and tailor it to meet agency needs. The FDGS Team’s issue management procedures are:

* Issue Identification and Documentation
* Issue Validation, Assignment and Prioritization
* Issue Analysis
* Issue Tracking and Reporting
* Issue Escalation (if needed)
* Issue Resolution and Closure

The FDGS issue management process requires identified issues are collected, documented and tracked to identify and report on the following groupings:

* Issue Category: high level operational area impacted by the issue
* Issue Type: sub-category to further defines the impacted area
* Priority: based on the severity of the issue
* Target Date: projected date of issue resolution
* Target Reason: justification for target date

The FDGS Project Manager will work with OMPP to determine the most appropriate details for inclusion into the issue management tool. As issues are identified and documented in the issue management tool during the project life cycle, an owner will be designated, who can provide the following pieces of information to assist in issue resolution:

* Impacts to Cost and/or Schedule
* Impacts to Project Staffing
* Impacts to User and/or Stakeholder Relationships
* Impacts to Existing Risks
* Suggested Resolution

An example of the issue management workflow is illustrated in **Figure 21**. The issue management plan in the PMP details all steps and processes illustrated in the issue management workflow.



**Figure 21: Issue Management Process Flow**

The currently implemented Issue Management Plans will be reviewed by the FDGS Teams for enhancements and will be updated as appropriate. At a minimum, the following will be reviewed for each Issue Management Plan to assess any gaps or changes:

* Trouble-shooting tools and techniques used for diagnoses of issues with networks, services, equipment, software and data
* Issue resolution efforts approaches and measurement metrics

The FDGS Team will submit a draft Issue Management Plan for approval at least 30 days before contract start of new initiatives.

## Change Control Process

As a key component of any successful project, the Change Control process must be described, well-communicated and understood to implement, assess and evaluate its ongoing effectiveness. Modifications to a project’s scope, schedule or cost can result from changes that exist within the control of the project as well as outside of the project’s control such as rule and policy changes. Regardless of the point of origin for change, it is imperative that the project includes processes for identifying, analyzing, documenting and managing change.

The overall change control process includes the following major processes:

* Understand the change source
* Define control items
* Capture and monitor changes
* Verify changes are reviewed, agreed to and approved
* Confirm control items are updated
* Confirm approved changes are communicated

The FDGS Team will review the current Change Control process and identify any enhancements in collaboration with the OMPP.

# Staffing

As your current OV&V vendor, we carefully examined the scope of work included in this RFP. While comparing the current workload to the upcoming scope, we focused on having the best resources and on the right size of the teams. FDGS proposes retaining our current team structure and add in the minimum number of additional staff required to support the additional scope. This approach provides the greatest continuity through the transition to the new contracts while maintaining the greatest amount of experience and knowledge for OMPP.

As you will see in the detailed organizational chart (Figure 23) we have right sized the team to properly support OMPP and minimize the overall risk.

The FDGS Team collectively offers 42 years of previous experience working for FSSA, OMPP and/or with OMPP vendors. We continue to sustain Indiana’s philosophy to support local, culturally diverse and veteran owned businesses by proposing a team of vendors that collectively support the OV&V needs of OMPP. The FDGS Team includes the following partners:

* **eSense** –an Indiana Minority Owned Business Enterprise
* **M.R.C. Inc.** –an Indiana Veteran Owned Business Enterprise
* **Hypesmith –** an Indiana Women Owned Business Enterprise



Figure 22: The FDGS Team

## Project Staffing

FDGS offers an OV&V Team with proven knowledge and experience with OMPP. We bring continuity, which minimizes risks to OMPP by eliminating the need to transition services to a new vendor. Our FDGS Team is well known and respected by the OMPP Management Team and engaged vendor partners. The organizational chart provided in **Figure 23** illustrates the FDGS Team’s structure by operational focus areas with staff members participating, as needed, in the completion of activities outlined in the SOW.

The FDGS OMPP FDGS Team comprises Fiserv employees and three subcontractors, many of whom have worked as team members since our project began. The roles and responsibilities of our subcontractors are identical to those engaged by our own staff—to coordinate and participate in multiple assignments simultaneously to measure and manage the performance, billing, quality and deliverables of the CoreMMIS vendors, as assigned.

As described in the OMPP organization and staffing charts that follow, the subcontractors work alongside our FDGS staff, so we act as a single, integrated team. FDGS oversees these subcontractors directly as part of the project. Our FDGS Project Director and Team Managers consult with the individuals daily to peer-confirm the results of their analysis. This management approach allows their efforts to remain directly aligned with your client needs. We provide regular feedback on both OMPP’s and FDGS’ satisfaction with their work product to their respective subcontractor vendors and reserve the right to adjust the subcontracted individuals involved as necessary to maintain the highest standard of work output for OMPP.

## Key Persons

FDGS agrees key personnel, identified in the contract, will not be reassigned, replaced or added during the term of the contract without the State’s prior written consent.

Michael Simms would continue in his role as OMPP OV&V Project Manager. Michael has 13 years of experience managing similar projects of comparable size and complexity, over 3 years of which have been on the current OMPP OV&V Project.

The IN OMPP OV&V Organizational Chart below reflects the OV&V Team currently with the addition of two Quality Analyst. In June 2020 as a result of the Public Health Emergency and the State Budget Agency announcement, FDGS was asked to implement a 15% budget reduction. As a result, the OMPP OV&V SOW was reduced eliminating our Women Business Enterprise (WBE) and Indiana Veteran Owned Small Business (IVOSB) resources.

The two ‘TBD’ resources indicated below will align with the SOW presented in this RFP.

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**Figure 23: IN OMPP OV&V Organizational Chart**

The following tables provide the required FDGS Team Staffing for the OMPP OV&V Project. Our Project Director will manage transition activities required as the new contract is initiated. However, our core team, which is already in place, will quickly continue with the operations and maintenance activities needed for ongoing support of OMPP priorities.

Table 19: FDGS OV&V Project Management Team

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Role** | | **Team Member** | | **FSSA Years of Experience** | | **OV&V Years of Experience** | | **Location** | | **Degrees & Certifications** | | |
| Project Director/Manager | | Mary Fitzgerald | | 5 Years | | 5 Years | | Albany, NY | | AAS, Computer Science  PMP | | |
| **Qualifications** | | | | | | | | | | | | **Experience** |
| 5 years of experience in Project Management | | | | | | | | | | | | 14 years |
| 8 years of experience in related technical, health care, or government industry | | | | | | | | | | | | 28 years |
|  | | | | | | | | | | | | |
| **Role** | | **Team Member** | | **FSSA Years of Experience** | | **OV&V Years of Experience** | | **Location** | | **Degrees & Certifications** | | |
| OV&V Project Manager | | Michael Simms | | 7 Years | | 10 | | Indianapolis, IN | | BS, Business Information Systems | | |
| **Qualifications** | | | | | | | | | | | | **Experience** |
| 14 years of experience supporting the state of Indiana, including over 5 years on the OMPP Operational Verification & Validation Project | | | | | | | | | | | | 14 years |
| 28 years of public sector information technology systems experience. | | | | | | | | | | | | 28 years |
|  | | | | | | | | | | | | |
| **Role** | | **Team Member** | | **FSSA Years of Experience** | | **OV&V Years of Experience** | | **Location** | | **Degrees & Certifications** | | |
| Sr. Project Analyst | | Brent Keith | | 10 | | 8 | | Indianapolis, IN | |  | | |
| **Qualifications** | | | | | | | | | | | | **Experience** |
| 5 years of experience in related technical, health care, or government industry | | | | | | | | | | | | 15 years |
|  | | | | | | | | | | | | |
| **Role** | **Team Member** | | **FSSA Years of Experience** | | **OV&V Years of Experience** | | **Location** | | **Degrees & Certifications** | | | |
| Project Analyst | Brian DiPiro | | 10 | | 3 | | Indianapolis, IN | |  | | | |
| **Qualifications** | | | | | | | | | | | **Experience** | |
| 5 years of experience in related technical, health care, or government industry | | | | | | | | | | | 12 years | |
|  | | | | | | | | | | | | |
| **Role** | **Team Member** | | **FSSA Years of Experience** | | **OV&V Years of Experience** | | **Location** | | **Degrees & Certifications** | | | |
| Technical Analyst | Cliff Jones | | 10 | | 10 | | Indianapolis, IN | |  | | | |
| **Qualifications** | | | | | | | | | | | **Experience** | |
| 5 years of experience in related technical, health care, or government industry | | | | | | | | | | | 11 years | |
|  | | | | | | | | | | | | |
| **Role** | **Team Member** | | **FSSA Years of Experience** | | **OV&V Years of Experience** | | **Location** | | **Degrees & Certifications** | | | |
| Quality Analyst | TBD | | TBD | | TBD | |  | |  | | | |
| **Qualifications** | | | | | | | | | | | **Experience** | |
|  | | | | | | | | | | |  | |
|  | | | | | | | | | | | | |
| **Role** | **Team Member** | | **FSSA Years of Experience** | | **OV&V Years of Experience** | | **Location** | | **Degrees & Certifications** | | | |
| Quality Analyst | TBD | | TBD | | TBD | |  | |  | | | |
| **Qualifications** | | | | | | | | | | | **Experience** | |

### Continuity and Availability of Personnel

The FDGS Team has been dedicated to OMPP over the past 12 years and, to maintain consistency and continuity through the transition to the new contract, we propose FDGS Teams that consist of the same core staff for OMPP. Our Team provides a significant local presence because our team lives in and around Indianapolis and is part of the community.

The proposed FDGS Team is 100 percent dedicated to the OMPP OV&V Project in Indiana. With this approach, we eliminate the distraction of other assignments so we can maintain the OMPP OV&V Project as our only priority.

To always maintain project continuity, our project manager will track and communicate all planned absences away from the project for our key personnel. We will share consolidated vacation, holiday, and other plans for time out of the office for our management team with the State. The project manager will also convey backup coverage and contacts during any staff time off.

FDGS recognizes the importance of and reliance on Key Persons in the context of any large, complex project. FDGS will minimize staff turnover to the extent possible, particularly for those identified as Key Persons. If an unplanned departure from the project is unavoidable, FDGS will notify the OMPP Project Director, in accordance with the Contract conditions. FDGS and its subcontractors maintain policies that request a minimum of two weeks’ notice if any staff submits their resignation.

FDGS utilizes a continuous recruitment process so we can receive and evaluate resumes on a continuous basis. We interview prospective employees and sub-contractors and assign a rating. Should an opening occur, we have a short list of candidates to re-interview based on our specific needs. FDGS commits that replacement personnel submitted for the departing resource will be fully qualified for the position. In the event a FDGS Key Person change occurs, FDGS shall provide a thirty calendar-day notice along with a transition plan to the State to maintain continuity of any project assignments and immediate milestones to be met.

In order to assist in maintaining continuity, FDGS cross-trained the OV&V Team over the course of the last two years to allow us to move staff between teams as needed to meet the needs and priorities of OMPP.

### FDGS OV&V Leadership Team Resumes

The resumes for the Project Manager and the FDGS OV&V Leadership Team are provided below.

Mary Fitzgerald, Project Manager

|  |  |
| --- | --- |
| A person wearing glasses  Description automatically generated with low confidence  **Program Expertise**   * TANF, Food Stamps, CHIP, Welfare to Work * Medicaid * Child Care   **Specializations**   * Project Management * Operational and Independent Verification & Validation * Business Transformation * Functional Roadmaps * Quality Assurance   **Education and Memberships**   * A.A., Data Processing   **Certifications and Licenses**   * PMP   **Methodologies**   * Waterfall * V-model | **Professional Summary**  Mary is a certified Project Management Professional (PMP) with more than 28 years of Public Assistance/Human Services experience at the state and county level. She has led multiple projects in the areas of Independent and Operational Verification & Validation and Business Transformation. She has extensive knowledge about the TANF, Food Stamps (SNAP), Medicaid, CHIP and Welfare to Work programs from the various positions she has held in Indiana, New York, California, Arizona, Texas and Yuba County. Based on this background, she has developed a strong combination of welfare program knowledge and technical capabilities.  Mary was selected as a 2017 American Public Human Services Association APHSA Emerging Leader in recognition of her dedication to improving the delivery of health and human services programs. |
| **Qualifications for this Role**   * 28 years working within Public Assistance/HS   + Five years managing the Indiana OV&V team   + One year leading FSSA IV&V team   + Ten years managing state human service projects * In-depth program policy knowledge * PMP Certification * HSITAG Member |

**Experience**

**First Data Government Solutions**

Indiana Family and Social Services Administration (FSSA) OV&V   
Project Manager, 03/2021–Present

FDGS provides independent oversight of the prime vendor’s contract to modernize Indiana’s welfare system. When the prime vendor’s contract was terminated in December 2009 and the State had assumed the prime contractor role, FDGS continued to augment a new State Program Management Office. Mary manages an Operational Verification and Validation (OV&V) team of over 20 staff including subject matter experts, analysts and consultants. The services Mary’s team provides include:

* Project management
* Monitoring and reporting on vendor performance and compliance
* Quality Assurance services for policy changes, system changes and case reviews
* Problem and issue resolution
* Conducting data analysis and reporting
* Conducting risk assessments
* Supporting and participating in change control processes
* Governance support

Internal Projects  
Project Manager, 07/2020–03/2021

* Mary supported the internal Gardener Initiative project, lending her skills and expertise to the development and implementation of a new Community of Excellence and Innovation (COE&I) utilizing Microsoft Teams and SharePoint. Mary worked with the Gardener Initiative Team to develop the COE&I Governance, To-Be Processes and Implementation plans for the new COE&I.
* Participated on the East Region Lunch Roundtables (ERLR) Committee, which was responsible for planning, developing and implementing a bi-weekly roundtable to provide staff update on technology, projects, procurements and more. Mary utilized her project management skills to assist in the planning of topics, development of presentations and management of the live Microsoft Teams meetings.

New York Integrated Eligibility  
Project Manager, 10/2018–07/2020

New York’s HHS programs are comprehensive and diverse, and the IT environment that supports them is even more so. New York’s all-in-one mainframe systems are working side-by-side with modular, cloud-based systems. The State’s current initiative involves the development of a new integrated eligibility system as well as integrating existing systems to facilitate innovation and comply with state and federal mandates and expectations. Mary was the IV&V Project Manager on the New York Information Technology Services Integrated Eligibility System Program and the New York State Marketplace. Her duties and responsibilities included:

* Managing all deliverables of the IV&V Contract
* Reporting to and taking direction from the IV&V Contract Manager
* Providing IES with weekly project status reports to the IV&V Contract Manager
* Providing IES and NYSOH monthly status and recommendation project progress reports to the IV&V Contract Manager
* Managing the IES and an NYSOH IV&V Project Management Plans and schedules
* Participating in IES Program and NYSOH meetings
* Coordinating work efforts and collaborating with the project team, including IES Program Office, DOH and ITS staff, the IES Solution Contractor and NYSOH contractors/subcontractors
* Participating in project status meetings
* Reviewing quality control processes and identifying areas needing improvement to the and institutes changes as necessary
* Managing the work of the FDGS IV&V Team
* Confirming all deliverables of the IES/NYSOH contractors/subcontractors are validated and verified and documented

Indiana Family and Social Services Administration (FSSA) OV&V   
Project Manager, 05/2014–10/2018

FDGS provided independent oversight of the prime vendor’s contract to modernize Indiana’s welfare system. When the prime vendor’s contract was terminated in December 2009 and the State had assumed the prime contractor role, FDGS continued to augment a new State Program Management Office. Mary managed an Operational Verification and Validation (OV&V) team of over 20 staff including subject matter experts, analysts and consultants. The services Mary’s team provided included:

* Providing project management
* Monitoring and reporting on vendor performance and compliance
* Performing Quality Assurance services for policy changes, system changes and case reviews
* Resolving problems and issues
* Conducting data analysis and reporting
* Conducting risk assessments
* Supporting and participating in change control processes
* Providing governance support

Indiana FSSA Eligibility Determination and Services System (IEDSS) IV&V Project   
Business Lead, 02/2013–04/2014

The Indiana Family and Social Services Administration (FSSA) provides services to low-income individuals, families, children, senior citizens and people with mental illness, addictions and physical and developmental disabilities. This project supports the upgrade of the legacy SCHIP, Medicaid, SNAP and TANF Eligibility & Enrollment systems to current technology in meeting Affordable Care Act (ACA) mandates. FDGS provided verification and validation services to augment and complement the FSSA Project Management Office in overseeing the Eligibility Modernization Program. Mary’s responsibilities included leadership of business requirements verification and validation, as well as verification of requirements traceability throughout the project lifecycle. She reviewed DDI vendor Deliverables/work products to validate that they met RFP requirements and verified project processes were defined and in place. She also assisted in developing and reviewing documentation for CMS Gate Reviews.

New York Office of Temporary and Disability Assistance (ODTA) Functional Roadmap (FRM) Project  
Project Manager, 05/2011–01/2013

The New York OTDA, in partnership with the Offices of Children and Family Services (OCFS) and the Department of Health (DOH), contracted FDGS to develop a strategic plan for the consolidated delivery of several programs with an overlapping client base. Mary’s responsibilities included initiating project activities and managing adherence to project timelines, project methodologies and contractual requirements. She managed project risks, issues, budget and resources and conducted internal quality assurance reviews. She also led the development of updates to the To-Be Functional, Organizational and Current-state Business Process Models for in-scope programs. Mary led development of, and updates to, the Gap Analysis between the To-Be Functional model and the MITA 2.0 Business Process Models. She collaborated with business partners regarding status, issue identification and issue resolution. She also collaborated with State Subject Matter Experts and other state staff on various facets of the project.

Business Process Lead, 11/2009–01/2011

Mary initiated project activities and facilitated business process work sessions in several New York counties. She led development of As-Is Organizational Models for TANF, SNAP and LIHEAP work streams and Functional As-Is Models for all in-scope programs. She also led the development of the Gap Analysis, including a COTS assessment of vendor products for Health & Human Services eligibility systems. Mary collaborated with state Subject Matter Experts and other state staff on various facets of the project.

County of Los Angeles Department of Public Social Services EBT Transition Coordinator   
Project Manager, 12/2008–10/2009

The Los Angeles County EBT Transition Coordinator project provided overall management and coordination for the Los Angeles County EBT transition activities associated with the State of California’s EBT vendor transition from JP Morgan to ACS.

Mary’s responsibilities included acting as a liaison and point of contact for the county with ACS and State EBT Transition Leads. She organized and coordinated the activities of the county transition teams, oversaw all county transition work plan activities, and maintained the county transition work plan. She prepared memos, letters and documentation to provide EBT Transition information to cardholders, Board of Supervisors and district staff. She acted as the county representative in meetings with the State, ACS, advocates, and community-based organizations and other county stakeholders. Mary created and maintained county project control documents, controlled all planning and implementation tasks, and facilitated all county transition team meetings. She also prepared or directed policy recommended actions, attended project meetings with both external and internal stakeholders and managed project budget and resources.

Additional Experience   
Texas Access Alliance (TAA), Project Manager, 09/2005–10/2008

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Michael Simms, Project Manager   |  |  | | --- | --- | | **Program Expertise**   * Human Services * Child Support   **Specializations**   * Quality Assurance * OV&V / IV & V * Testing * Data Management/ Governance * System Implementation/ Transition * Training   **Education and Memberships**   * BS, Information Business Systems, Indiana Wesleyan University | **Professional Summary**  Michael is a Project Manager and Senior IT specialist who has been working with government systems for over 28 years. He has functioned as a Project Manager, Senior Business Analyst and Quality Assurance Manager. Michael has experience in information technology, quality assurance, and testing on large projects for private and public sector clients. He is well versed in the use of all standard and many specialized office, testing, data management, tools and languages. Michael also holds several awards in consulting achievement, marketing, and collaboration. | | **Qualifications for this Role**   * 14 years of experience supporting the state of Indiana, including over 5 years on the OMPP Operational Verification & Validation Project * 28 years of public sector information technology system experience | |  |

**Experience**

**First Data Government Solutions**

Indiana Eligibility Modernization Project Operational Verification & Validation (OV&V)  
Project Manager, 10/2019 – Present

* Directs the FDGS OMPP OV&V Team in the design, development and implementation of review tools to measure and manage all specified vendors' performance, billing, quality, and deliverables. Utilizes established project methodologies to ensure successful delivery of OV&V reviews and implementation of FSSA requests.
* Provides guidance in development of the review schedule and reviews and approves all findings while participating in the development of recommendations.
* Presents Monthly and Quarterly Reporting to FSSA and attends all required management meetings all stakeholders.
* Recommends additional OV&V activities for FSSA's review, consideration, and approval. Maintains supervision of OMPP OV&V findings and FSSA requests to ensure timely resolution.

**First Data Government Solutions**

Indiana Eligibility Modernization Project Operational Verification & Validation (OV&V)  
Senior MMIS Project Analyst, 02/2017 – 10/2019

* Applies basic project management principles and deeper FSSA and vendor interaction to lead MMIS OV&V activities.
* Personally, coordinates and participates in multiple assignments simultaneously to measure and manage these vendors' performance, billing, quality, and deliverables.
* Worked with the Project Manager and FDGS team members to prepare detailed plans for the CoreMMIS project, determined resource allocation, deliverable timelines, and possible project risk/issues. Conducted a feasibility analysis to ensure consistency with client scope of work.
* Coordinated with key CoreMMIS stakeholders and vendors, conducting internal meetings, reviewing finances, and streamlining the overall workflow, with the primary aim of keeping the project on schedule.

**CSG Government Solutions**

ICD-10 Implementation Project  
Business Analyst, 06/2015 – 02/2017

* Served as Business Analyst Provider on the Indiana ICD-10 Implementation Project.
* Tracked, updated and monitored the IN FSSA ICD-10 post implementation activity and their resolution
* Indexed and archived ICD-10 project documentation
* Created FSSA ICD-10 Operational Readiness Documentation
* Conducted in-depth business requirement gathering and prepared an ICD-10 Advance Planning Document (APD) for state use
* Created and provided regularly scheduled update to the master schedule.
* Facilitate project meetings and followed-up on action items with the appropriate stakeholders.
* Update action items, risk, and issues log.
* Analyze ICD-10 vendor status reports and memos to determine their importance and plan their distribution across IN FSSA internal divisions.
* Provided functional and testing understanding of the ICD-10 program goals, constraints, impacts and challenges.

Wisconsin DHCAA Transition Project  
Senior Consultant, 08/2014 – 06/2015

* Served as Quality Assurance Provider on the Wisconsin DHCAA Transition Project.
* Completed IV&V activities and provided quality assurance as part of a team to ensure the quality and accuracy of the selected ICD-10 implementation and remediation strategy.
* Lessons Learned Documentation
* Gathered information and providing assessments for the major development effort.
* Provided schedule reviews/recommendations to state stakeholders.
* Documented the ICD-10 DHCAA IV&V Review of the Design Document.
* Documented the SunGard Imaging System implementation lessons learned.

Indiana Family & Social Services Administration – ICD-10 Assessment and Implementation Project  
Project Manager, 09/2013 – 08/2014

* Responsible for all IV&V activities and deliverables for the program including:
* Execution of quarterly project assessments for the program
* Identification of risk mitigation strategies, recommendations, and corrective actions
* Ongoing quality assurance activities which tracked the progress of the team against the recommendations and corrective action plans
* Ongoing identification of new risks and issues
* Completed IV&V Project Schedule Updates
* Provided an Independent Verification and Validation (IV&V) evaluation of the processes, documentation, and results of FSSA testing of the Medicaid Management Information System (MMIS) as it relates to the ICD-10 Assessment & Implementation project
* Delivered FSSA Testing Evaluation Reports
* Conducted project Lessons Learned
* Analyzed FSSA ICD-10 project management and evaluated project progress, resources, budget, schedules, workflow, and reporting.
* Reviewed project Test Plans, Test Strategy, Test Results and Testing Documentation

Indiana Family & Social Services Administration – ICD-10 Assessment and Implementation Project  
Senior Consultant, 11/2011 – 08/2013

* Served as Quality Assurance Provider on the Indiana FSSA ICD-10 Transition Project.
* Completed IV&V activities and provided quality assurance as part of a team to ensure the quality and accuracy of the selected ICD-10 implementation and remediation strategy.
* Gathered information and providing assessments for the major development effort.
* Delivered the FSSA ICD-10 independent test strategy and test plan.
* Reviewed and analyzed FSSA ICD-10 IBM Rational Testing Suite.
* Assessed and recommended improvement as needed to ensure software testing was performed adequately through review of test plans or other documentation and through direct observation of testing where appropriate, including participation in and coordination of peer reviews.

**SmartIT (Deloitte)**

Functional Business Analyst, 06/2011 – 11/2011

* Led Joint Application Design (JAD) sessions to gather requirements for the Documentation Generation (DocGen) system for the Indiana Department of Child Services (DCS) Child Support Bureau (CSB).
* Created User Experience Storyboards, diagrams and submitted to DCS Management for approval using Industry Print.
* Generated business process models, helping the client understand and determining wants versus needs of the DocGen system.
* Acted as liaison for the client and vendor assessments for Request for Proposal.
* Assisted clients with gaining an understanding of the importance of business process management.
* Assisted clients with gaining an understanding the importance of business requirement and process management from Indiana Support Enforcement Tracking System (ISETS) to the State Medicaid Management Information System (MMIS).

**Eli Lilly**

Operation Reporting / Data Steward, 03/2009 – 04/2011

* Analyzed lives co-pay, and formulary data while reporting to field base sales, account managers, and senior management.
* Created completing score cards and dash boards for those data elements.
* Generated composites pull-through system metrics and payer reports for account managers and field base teams which lead to increased sales.
* Defined tasks and durations from project launch through stabilization.
* Created access data reports to facilitate increased product access, requirements, and brand launches for Livalo and Effient.
* Assembled and documented business data requirements from the data warehouse consumers.
* Presented access numbers and product status during Eli Lilly national meetings.
* Acted as a liaison between business, vendors, and IT for formulary and lives data requirements gathering and documentation.
* Implemented security requirements to protect Lilly data against negative business impacts by identifying data quality issues.
* Monitored and measured data quality and implemented metrics for key performance Indicators.

**Eliassen Group**

Test Coordinator / Validation Subject Matter Expert, 04/2007 – 04/2009

* Delivered the contract performance reporting and accrual tool systems that made use of leadership skills.
* Determined the requirements for the testing life cycle.
* Functioned as a subject matter expert on the ProClarity tool included for the Accrual tool.
* Delivered the system testing initiative to include the planning, execution, and measurement of the integration, user acceptance, and performance testing phases.
* Worked with the system stakeholders to define requirements and document the roles and responsibilities within the testing phases.
* Led and supported the team through JAD sessions, application design, and development of test cases.
* Coordinated the retesting of corrected defects, communicated testing readiness results, and managed the resolution of issues.
* Delivered validation documentation (system test plan, test cases, testing schedule, and resource planning and test summary reports).

**Computer Task Group (CTG)**

QA Team Lead, 1/2006 – 3/2007

* Implemented Capability Maturity Model Integration processes for the business and CTG employees.
* Analyzed system documentation, business processes, and system features to formulate requirements for testing the Statistical Tracking and Reporting System (STARS) application.
* Provided consistent and predictable testing results by applying the STBox (Software Testing Method Based on Experience) testing methodology.
* Translated functional and business requirements, objectives, scenarios, cases, and scripts.
* Developed a strategy to create realistic and accurate test data and environments.
* Managed test execution of system integration and acceptance testing.
* Conducted daily stand-up meetings with the testing team during formal integration testing and reported previous and current day activities to management.

**RCR Technology**

Indiana Pension System, Inc. Project  
QA Tester, 02/2005 – 01/2006

* Analyzed, planned, executed, and reported for the testing effort on the Indiana Pension System, Inc. Project.
* Worked with business partners to translate business process requirements into system requirements.
* Provided tracking of the testing project to ensure that goals and objectives of retirement funds were accomplished within the prescribed time frame.
* Enhanced the value and results of the testing effort with knowledge of Smart Script and Smart Load automated testing tools.
* Created test plans and test cases for integration testing of the application prior to production release.
* Provided leadership related to analyzing, tracking, resolving, and documenting defects.
* Recommended and coordinated improvements to systems, business processes, and procedures.

**Technology Partnership Group**

Indiana Client Eligibility System (ICES)  
Migration Analyst / Lead Software Tester, 02/2003 – 01/2005

* Provided migration, conversion, and design and development support to clients and internal departments for the Indiana Client Eligibility System (ICES).
* Used analytical and programming skills to create and modify programs and utilities to include adding or updating multiple Recipient Identification Number (RID) files from MMIS within the ICES database.
* Used analytical and programming skills to create and modify programs and utilities to include adding or updating multiple files within the ICES database.
* Gained an understanding of both standard and custom conversions and upgrade methodologies and followed standard procedures for implementation.
* Provided PC support to over 135 ICES end users.
* Managed the testing effort of a large state health and human services applications for a team of eight.
* Scheduled software and implementation releases.
* Worked with automated testing tools.
* Created test beds of data for repeated execution.
* Deployed automation to reduce the testing cycle on repeated testing task.
* End-to-End testing of RID’s to ensure that clients set-up in ICES were identified in MMIS.

**Service Design Associates**

Training Coordinator / QA Tester, 01/1996 – 02/2003

* Provided training direction and help desk oversight.
* Implemented training strategies for measuring and improving system retention and problem resolution with training methodologies created for the Superior Court employees.
* Orchestrated training tutorials and reduced employee errors by 36% while increasing client system satisfaction.
* Developed, maintained, and updated end user revision documentation.
* Worked directly with end users as a QA Tester for the DC Child and Family Services Agency (CFSA) to create test cases and scenarios.
* Executed test scripts, reported execution results to CFSA Director and Service Design Associates leads.
* Implemented new CFSA application.

# State Resources for OV&V Vendor

## State Roles and Resources

FDGS understands the State will provide guidance and approval, collaborate on projects, receive reports, and make ad-hoc requests.

FDGS understand that training materials will be available to those who have access to State systems/tools, but the FDGS Team is expected to remain the Subject Matter Experts (SME). To the extent that they would like to, the State would make these materials available.

Approach to Teamwork and Collaboration

Communication is essential to confirm the successful coordination and collaboration of strategic initiatives, the correct priorities are set and executed on schedule, and there is accountability and productivity for all contractors, subcontractors, vendors, OMPP and OMPP designees. Effective communication among all parties and entities can be one of the most challenging aspects of a project. Understanding the communication required between the State agency, project stakeholders, FDGS and other client vendors is crucial. Our experience has shown any project can have multiple, parallel tracks being pursued by many individual teams, with few project staff having the benefit of the cross-track knowledge of all work being performed.

The FDGS Team understands and appreciates the cost of supporting cross-pollination of ideas, mitigation strategies, issue resolution and basic vendor relations communications. Based upon our experience, it is imperative vendor touch points are clearly defined and documented. We recommend the following guidelines when determining if a touch point exists and should be managed:

* Is there any task that needs input from another vendor?
* Do any tasks depend upon a task being completed by another vendor?
* Do I need to interact with another vendor for any of my tasks?
* Do other vendors’ tasks depend upon my tasks?
* Do I need to provide any input to another vendor’s tasks?

The FDGS Team will support and facilitate teamwork and collaboration through Touch Point Management. This methodology will document and address, in detail, the touch point identification process, the standards of status reporting, communication, tracking and the escalation process. Attention to this level of detail reduces risk of duplication of effort and individual entities working at cross purposes. FDGS brings a proven communications methodology that can be leveraged for OMPP on the OV&V Project.

We understand the ramifications of communication breakdowns and are diligent about keeping communication channels open and information flowing. We will conduct periodic communication audits in which we review all applicable project communications and recommend changes, as necessary, to confirm the needs of OMPP are being addressed throughout the project life cycle.

Addressing Stakeholder Needs and Issues

The FDGS Team has been working in collaboration with OMPP and its respective stakeholders to address needs, identify issues and develop resolutions. As the incumbent, we realize the critical importance of stakeholder communication for OMPP. As with all the current implemented processes, FDGS is committed to reviewing and identifying any improvements, gaps and enhancements that would benefit the OMPP OV&V Project.

Our stakeholder needs and issues assessment on the current implemented plans includes:

* Reviewing the current list of stakeholders for OMPP to update where appropriate
* Reviewing how needs are identified and communicated to ascertain if the processes are efficient, monitored, tracked, recorded, and the process for response is effective
* Reviewing how issues are identified and the processes to report, track, and monitor until the issue resolution is operative.

The FDGS Team is dedicated to supporting OMPP with the implementation of a plan to address stakeholder needs and issue resolution process that will meet the needs of OMPP.

FDGS agrees the State shall provide FDGS with all relevant and necessary access to State systems necessary to perform any of the duties contemplated by the Contract.

## State System Access

FDGS understand the State will provide the Contractor with all relevant and necessary access to State systems necessary to perform any of the duties contemplated by the Contract.

# Security and Risk Mitigation

The FDGS Team realizes the critical need for data security and risk mitigation for the Indiana OMPP OV&V Project. In this section, we describe the FDGS processes and activities to implement and monitor risk plans, and the plan to secure and protect the State’s data.

## Risk Management and Mitigation

The FDGS Team agrees to provide an updated Risk Management and Mitigation Plan at least 30 days before the projected go-live date of the contract. Our plan will include the FDGS process for identifying, documenting and reporting risks and risk status to the State.

FDGS’ overall approach to Risk Management and Mitigation covers the initial and ongoing activities that identify risks to the projects at OMPP through the tracking and managing of all risks throughout each of the projects. Through early identification and recognition of potential problems, the project can attempt to avoid or minimize a problem through proper actions. The FDGS Team will work with OMPP to review and update our comprehensive Risk Management Process.

Development of a Risk Management and Mitigation Plan is a key activity done in conjunction with the development of the overall Project Management Plan (PMP). The Risk Management and Mitigation Plan documents the approach, procedures, and tools used to manage risk associated with the OMPP OV&V Project.

The FDGS approach to risk management includes these key components:

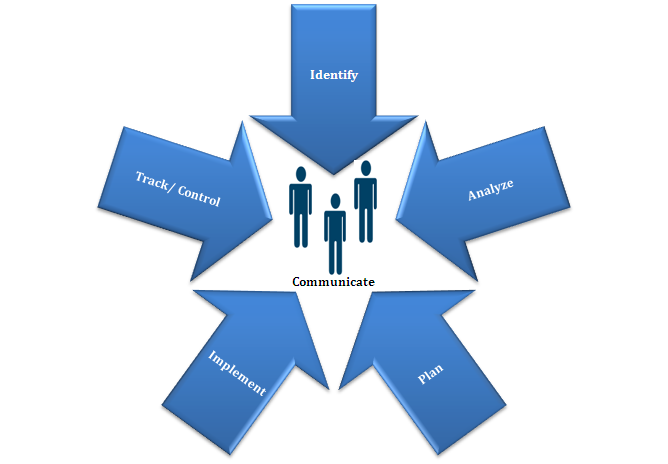


Figure : Risk Management Approach

* **Identify** – Before risks can be managed, they must be identified. Identification discovers risks before they become problems and adversely affect a project. FDGS has developed techniques for surfacing risks by the application of a disciplined and systematic process that encourages project personnel to raise concerns and issues for subsequent analysis.
* **Analyze** – Analysis is the conversion of risk data into risk decision-making information. Analysis provides the basis for the OMPP Project Director to prioritize and work on the "right" risks. This step includes determining probability of occurrence, and assessing potential magnitude, to determine which risks warrant the highest level of attention.
* **Plan** – Planning turns risk information into decisions and actions (both present and future). Planning involves developing actions to address individual risks, prioritizing risk actions, establishing an owner responsible to address each risk, and creating an integrated risk management plan. The plan for a specific risk could take many forms. Risk response strategy examples are depicted in **Figure 24**:

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**Figure 25: Risk Response Strategies**

* **Track** – Tracking consists of monitoring the status of risks and taking action to mitigate risks. Appropriate risk metrics are identified and monitored to enable the evaluation of the status of risks themselves and of risk mitigation plans.
* **Control** – Risk control or abatement corrects for deviations from planned risk actions. Once risk metrics and triggering events have been chosen, there is nothing unique about risk control. Rather, risk control melds into project management and relies on project management processes to control risk action plans, correct for variations from plans, respond to triggering events, and improve risk management processes.
* **Communicate** – Risk communication lies at the center of the model to emphasize both its pervasiveness and its criticality. Without effective communication, the risk management approach cannot be viable. While communication facilitates interaction among the elements of the model, there are higher-level communications to consider as well. To be analyzed and managed correctly, risks must be communicated to and between the appropriate organizational levels and entities. Because communication is pervasive, our approach is to address it as integral to every risk management activity and not as something performed outside of, and as a supplement to, other activities.

Risk Identification and Mitigation

Project risks are identified, monitored, and managed throughout the life of each project. There are various areas that can affect a project's risk level. The following are examples of topics to be considered when assessing risk:

* The contract, schedule, and budget
* The technology used on each project
* The environment in which each project is executed
* How well the project fits the culture or business area or strategic objectives
* The degree of change that will result from each project
* The size of the population or systems affected – e.g., division or agency, state employees or the public, etc.
* The legal and regulatory implications of error

FDGS recommends identified risks are documented, maintained, and monitored in our project management tool detailed in **Project Management Tools** and in **Risk Tracking, Management and Reporting Tools**. The FDGS Team will work with OMPP to determine the most appropriate data fields to collect for the tool and standardize the risk request form for use with the OMPP OV&V Project. Further, FDGS will ensure any documentation is maintained securely in accordance with OMPP policies.

**Risk Identification**

Risks are identified through a variety of means:

Table 20: Examples of Risk Identification

|  |  |
| --- | --- |
| **Identifying Risks** | |
| **Project deliverable descriptions and specifications** | Risk is inherent in any new project, often because the product or process being created is completely new. In situations such as this, it is wise to look at the proposed product or service descriptions and specifications to determine if there are any areas that have the potential for risk. |
| **Project Documents** | Reviewing documents such as project work plans, budget estimates, staffing plans, assumptions and constraints, etc., may bring to light areas of risks that were not immediately apparent at the time of creation. |
| **Subject Matter Expert interviews** | Talking to subject matter experts and reviewing historical project files will give the team an indication of where risk may lie. |
| **Brainstorming sessions** | Getting key project team members together into a room and documenting thoughts, free of immediate criticism, has the potential to generate ideas. Such meetings help team members understand various perspectives and can help the team better understand the big picture, including the priorities of the project. These ideas can then be categorized and evaluated. |
| **Analogy comparisons** | Examining lessons learned from similar projects can help identify potential risk areas for the project at hand. |

Risk identification is an ongoing task throughout each project’s life cycle. All project staff is responsible for identifying and documenting potential risks. The FDGS Project Manager has the primary responsibility for sponsoring risk identification activities and collecting the identified risks for analysis.

Formal risk meetings will be conducted by the FDGS Team as part of the Monthly Briefing with the OMPP Director. Other risk management meetings may be scheduled independent of the monthly status meetings, as needed. The risk meetings frequency will be established in collaboration with OMPP.

The FDGS Team will log new risks to the risk register and assign a status of “New.” The FDGS Project Manager, in conjunction with the OMPP Director, will review the risk to confirm the title and description clearly indicate the concern, likelihood of occurrence (if known), and possible consequences.

The Project Manager is responsible for coordinating the review and validation (i.e., identified risk is not a duplicate risk; the identified risk is worth analyzing for impacts and possible mitigations/contingencies) of the identified risks. Additional information may be required from the originator before making a determination of the validity of a risk. Invalid risks remain in the risk register to lessen the likelihood of duplicative efforts in the future but are marked as deleted. If a risk has been marked as deleted, the Project Manager will notify the risk originator and explain the reasoning behind the deletion.

Risks that may affect the project will be identified and organized into high-level categories. These categories will be well defined and will reflect common sources of risk for the business or application area. Categories include:

Table 21: Risk Categories

| **Risk Categories** | |
| --- | --- |
| **Technical** | Examples include reliance on unproven or complex technology, unrealistic performance goals, changes to the technology proposed, integration with existing systems, and changes to industry standards during the project. |
| **Schedule** | Examples include the ability of the project team to meet key deliverable dates based on scope changes and/or resource unavailability, and overall accuracy of the planned project schedule. |
| **Cost** | Examples include additional costs required to allocate additional or different staff resources, changes in approach that require additional resources (staff and dollars), and solving design, application program, or operational problems. This category is highly dependent upon schedule risks. |
| **Project Management** | Examples include poor allocation of time and resources, inadequate quality of the project plan, and/or lack of sound project management practices. |
| **Quality** | Examples include little or no allocation of resources to quality assurance related tasks such as establishing and documenting project management, deliverable and staffing expectations, interim and final deliverable reviews, independent testing, or lack of defined industry accepted standards and methodology. |
| **Organizational** | Examples include cost, time, and scope objectives that are internally inconsistent, lack of prioritization of tasks or projects, inadequacy or interruption of funding, and resource conflicts with other projects in the organization. |
| **External** | Examples include a shifting legal or regulatory environment, labor issues, changing state priorities and federal-related risks. Vendor contract risks are also considered in this category, including contractor relationships, type of contract, and contractor responsibilities in case of under-performance of project deliverables. |

Risk Mitigation

The FDGS Team will assess level of control, overall exposure, and priority for each risk. Risk analysis will be performed for all identified risks. The qualitative and quantitative detail is captured in the risk register. Risk analysis extends the value of the understanding, documenting and reporting on overall project risks by attempting to assign each risk to a numerical scale. The following figure depicts FDGS’s Risk Analysis Process.

Diagram

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**Figure 26: Risk Analysis Process**

Risk planning consists of the development of detailed plans for either mitigation or contingency actions for a specific risk; especially those determined to be the highest priority risks based on our qualitative and quantitative analysis. The risk response planning is presented for discussion at status meetings. At this meeting, the Project Manager will discuss the impacts and possible mitigation and contingency options. If the Project Manager decides risk actions are warranted, a Risk Owner is assigned (or confirmed) and tasked with creating the appropriate mitigation and/or contingency action plans. This information will be captured and updated by the Project Manager.

The risk action plans are reviewed during monthly status meetings which include risk management to verify they are feasible and appropriate for the severity and ranking of the risk. The Project Manager can determine if further information is needed to better determine what actions to take.

Risks that cannot be influenced by any act of the project or project management are considered accepted. In these cases, the risk will be monitored, but no effort is expended towards mitigation or contingency actions. The Project Manager will determine if a risk should be accepted or escalated to OMPP Management, as appropriate.

The Risk Owner will develop a risk mitigation plan. The following information is documented in the risk mitigation plan(s).

* The risk to be mitigated
* Selected mitigation strategies to be implemented
* The desired outcome of the mitigation activities
* When each mitigation activity will commence (what is the trigger event)
* How and when (frequency of) the mitigation activities will be tracked
* Who is responsible for the mitigation activities?
* Who is responsible for tracking mitigation effectiveness and how is effectiveness measured?
* When will the mitigation activities cease (by a certain date or when a specific desired effect has occurred)?

The Risk Owner is responsible for informing the Project Manager of any activity plan updates. The Risk Owner will notify the Project Manager of any changes made to the plan, and the FDGS Team will review all changes made and update the risk accordingly. The Project Manager also reviews the status of action planning activities in advance of the weekly status meeting, the monthly status meeting, and the monthly OMPP Executive Briefing meeting.

Mitigation Plan Implementation

Plan implementation is the act of executing the decisions made and documenting the decisions in the risk mitigation plan(s). A mitigation plan is tied either to a trigger event and executed upon that event occurring or may be implemented immediately.

The Risk Owner has the primary responsibility for monitoring the trigger events associated with mitigation or contingency actions. The Project Manager assists with tracking triggers as part of the regular risk status review during the regularly scheduled project meetings. When the trigger event occurs or is imminent, the Risk Owner initiates the plan and notifies the Project Manager of the plan execution. The Risk Owner notifies all parties identified in the contingency plan and confirms all activities are coordinated. The Risk Owner also takes the specific measurements to determine the effectiveness of the activities. If it appears the activities are not producing the desired effect, the Risk Owner notifies the Project Manager and proposes changes to address the deficiencies.

The Risk Owner informs the Project Manager of the updates and changes. The Project Manager reviews the actions being taken (actual date of trigger event, etc.). In some cases, the actions also may be tracked in the one or more of the Vendors’ project work plans to support appropriate visibility. Action plan activities and their effectiveness are monitored during status meetings.

Risk Tracking, Management and Reporting Tools

FDGS is proposing using Microsoft 365 and utilizing tools within that suite such as an Excel based Risk Register as our project management tool for tracking, managing and reporting risk. Risk tracking and control follows the progress of the risk and its probability, as well as the status of any mitigation and contingency strategies that have been executed. When changes to the risk profile occur, the basic cycle of identify, analyze, and plan is repeated. Existing action plans may be modified to change the approach if the desired effect is not being achieved. The following graphic is an example of the risk request form.

Graphical user interface, application, Teams

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**Figure 27: Risk Request Form Example**

The tool supports the details of the risk and allows for attachments of documents to support the risk in addition to risk notes. Once the risk request form is completed and submitted, it is added to the risk log. Risks are assigned to individuals and the tool is designed to notify the risk owner of a new risk.

The Risk Owner informs the Project Manager with appropriate risk status updates as needed. The Project Manager is notified through the tool of any updates. The Project Manager reviews the updates to verify they reflect the current risk state. The Project Manager provides status reports of risk activities to the Project Team at the status meeting and discusses the effectiveness of the current action plans. The following example illustrates the risk dashboard that will support the risk status and reporting.

Graphical user interface, application

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**Figure 28: Risk Dashboard**

The Project Manager is notified whenever there is a significant change to a risk’s profile and makes recommendations to address changes in the action plans. Recommendations to improve the effectiveness of the plans are discussed at the monthly status meetings. Risks are closed when the risk event actually occurs, or it is no longer applicable. At this time, action plans are halted, and the status is changed to “closed.”

**Escalate Risk**

The Project Manager is responsible for maintaining the risk reporting and escalation process. If consensus cannot be reached within the OV&V Project Team regarding a risk, the team will escalate it to the next higher authoritative level for resolution. The Project Manager will discuss the status of the risk with the OMPP Director. If appropriate to escalate, the risk will be scheduled for the next meeting at the appropriate level. In the event the risk is an immediate risk, the OMPP Project Manager reserves the right to immediately escalate the risk to the OMPP Director for immediate resolution.

**Risk Communications**

Communications regarding risks are continuous throughout the project’s life cycle both through verbal and written reports. A summary of the risk status is provided in the Monthly Status Report. In addition, risk management activities are discussed at monthly status meetings and include informal identification and status of individual risk activities and assignments. The Project Manager can produce risk register at any time. All open risks and any action plans are reviewed with the Project Manager. Current risk status and the results and effectiveness of mitigation or contingency actions are reviewed, along with the status of risk trigger events and risk profiles. Risks are also addressed during project status meetings and OMPP Executive Briefing meetings.

The Risk escalation process and procedures mirror the Issue Management as detailed in the Issue and Communications Management Plans.

Benefits of Risk Management

With the complexity of the project undertaken by OMPP, taking the time to identify, track and manage risks across these projects provides a significant increase in the success of the overall program. The FDGS Team includes this approach in our day-to-day activities as we monitor each Vendor. If all goes as planned, the risk mitigation and contingency plans are executed smoothly and without much noticed. However, from our experience at OMPP, and across so many other projects, we know that ***not*** planning for potential risks can bring many projects to a halt.

By maintaining a steadfast commitment to the ongoing identification and tracking of risks across the OMPP enterprise, we minimize surprises and increase success for all your projects.

## Ensuring Data Security

The FDGS Team is familiar with the current policies and procedures in place at FSSA to secure and protect the State’s data, especially Protected Health Information (PHI) and Personally Identifiable Information (PII). We will continue adhering to these—or to more recently published—data security policies and procedures from the State.

The FDGS Team agrees to provide an updated Data Security Plan at least 30 days before the projected go-live date of the contract. Our plan includes the FDGS process for securing, protecting and destroying PII, PHI and other sensitive data. All current and new team members are required to review the current FDGS Data Security Plan and any future updates as they are published, as well as complete any State-required data security training and accept the State data security agreement, just as its own employees must do.

FDGS is keenly aware of the importance of data security. As the world’s largest processor of credit card transactions, data security is a fundamental business practice for Fiserv. We understand the significance of confidentiality and comply with all applicable federal and state regulations pertaining to protection of customer data.

Fiserv has aligned itself to the NIST Cybersecurity Framework (CSF), which a cybersecurity framework is based on a subset of NIST SP 800-53 Rev 4 controls. These controls closely align to ISO 27001-2013 controls; the International Organization for Standardization’s code that establishes guidelines and general principles for initiating, implementing, maintaining and improving information security management in an organization. Our policy has been analyzed against the requirements of the Health Insurance Portability and Accountability Act (HIPAA) and is compliant.

All Fiserv employees and contractors with access to customer data are required to review and sign-off on the Information Security End User Policy and the Standard Operating Procedure: Privacy & Protection of Personal and Business Confidential Information. These documents are based on relevant sections of the Information Security Policy. The Information Security Policy itself is posted on the corporate intranet where it is accessible to employees. By contract, third-party Vendors who have access to customer data must sign an amendment agreeing to meet or exceed Fiserv security policies and standards, which includes employee training on those policies. In addition, contractors must be trained on and agree to Third-Party Employees Privacy/InfoSec Operating Procedures.

Fiserv supports workforce privacy and security awareness through training provided by Fiserv Corporate Security and is mandatory for new hires (during the first 90 days of employment) and annually thereafter for existing staff (see **Figure 29**). All Fiserv employees, contractors and subcontractors must complete an online training each year, so FDGS always provides OMPP with a team who understands the importance of security and privacy. This training covers Fiserv security policy and clarifies exactly what is confidential information and what constitutes disclosure of such confidential information. The training also details the civil and criminal sanctions that can be applied to either Fiserv or individuals responsible for a data breach, or both.

Graphical user interface, text, application

Description automatically generated with medium confidence

**Figure 29: Fiserv Security Training Examples**

When we identify an information security risk, we follow an aggressive and disciplined process to remedy or mitigate the risk. Fiserv has established a corporate-wide Governance, Risk & Compliance group, reporting up to the Senior Vice President of Enterprise Security, Risk & Compliance, to identify and mitigate any information security risks. We mention this because security is not something Fiserv takes lightly; it is a core tenet of our corporate structure. As one of the largest transaction processors in the country, you and your families trust in Fiserv every day, whether you know it or not, to safeguard your purchases and your information. We train our staff annually and take specific measures to minimize security threats.

Each member of the FDGS OMPP FDGS Team, whether a FDGS/Fiserv associate or a sub-contractor is responsible, for understanding and complying with all relevant FSSA policies. Each team member must:

* Pass a background check commensurate with the duties of their position prior to being granted access to sensitive data, and which aligns with State contract requirements
* Complete the FSSA Workforce Contractor Privacy training including all refresher sessions
* Complete Cybersecurity Awareness training including all refresher sessions
* Review and sign the Information Resources Use Agreement (IRUA)
* Complete annual HIPAA refresher training

In our role as your OV&V Vendor, our access to project sensitive information will be safeguarded. If we suspect any sort of violation or breach, the FDGS Team agrees to follow the protocols set forth by the Indiana Office of Technology (IOT) security policies, as well as all FSSA-specific policies defined within the final contract (similar to those documented within the Sample Contract (Addendum 1), Section 12, E. Improper Disclosure, Security Incident, and Breach Notification).

FDGS takes extreme measures to verify our staff and our technologies are not impacted. For example, our staff has:

* Annual security training
* Bit locker protected laptops
* Laptops with USB ports deactivated
* Security monitoring over email to validate Personally Identifiable Information (PII) is not distributed
* Mandates to only use encrypted flash drives

The FDGS Team will be knowledgeable and equipped to keep your data secure.

# Service Levels and Performance Management

In support of affordability and focus on quality, the FDGS Team agrees to the requirements in the following table.

Table 22: FDGS Response to Service Levels and Performance Management Requirements

| **Requirement** | **FDGS Response** |
| --- | --- |
| **12.0 Service Levels and Performance Management**  10% of the Contract’s potential remuneration will be earned through the Contractor meeting certain mutually agreeable service levels. Therefore, each month, the Contractor shall invoice for 90% of the Contractor’s monthly charge (100% of the monthly charge minus the 10% withhold amount) pending verification of the Contractor’s performance against the Performance Metrics described in the Performance Metrics Table. Service levels will be developed, in part, based on Respondents’ proposed metrics. | FDGS agrees 10% of the potential remuneration will be earned through meeting certain mutually agreeable service levels. We will invoice for 90% of our monthly charge pending verification of our performance against the performance metrics. |
| **12.1 Validation of Performance to Invoice for Amounts Withheld**  Each month, the Contractor shall submit the requisite reporting to support verification of performance no later than the 15th calendar day of the following month to the State.  Following the State’s verification that Contractor successfully met the requirements for all Performance Metrics in a given month, the Contractor may invoice the State for the withheld funds described above with the subsequent month’s invoice (for example, if Contractor successfully meets all the Performance Metrics for January, and verification is completed in February, the portion of the January invoice that was withheld can be claimed with the February invoice).  Verification of Contractor’s success or failure to achieve Performance Metrics may be performed by the State or by a designated State contractor.  If a report listed in the Performance Metrics table is discontinued at the State’s request, the associated Performance Metric shall not be enforced or factored into withhold calculations. | FDGS agrees to submit the requisite reporting to support verification of performance no later than the 15th calendar day of the following month to the state.  FDGS agrees to invoice the state for the withheld funds with the subsequent month’s invoice, following State verification we have successfully met the requirement for all Performance Metrics in a given month. |
| **12.2 Failure to Meet the Service Levels for One or Two Metrics – Corrective Action Plan**  If Contractor fails to meet the requirements for one (1) or two (2) Performance Metrics (“missed Metric(s)”) in a given month, the Contractor must submit a Corrective Action Plan (CAP) to the State within fifteen (15) calendar days following the documentation of failure to meet the Metric(s). The State shall review and make reasonable efforts to approve the CAP within ten (10) calendar days of the CAP being received.  The State will continue to withhold funds for the month in which the Contractor failed to meet the missed Metric(s) and all subsequent months until Contractor demonstrates that the CAP has been implemented and further successfully meets the missed Metric(s) for two consecutive months following the implementation of the CAP. | FDGS agrees if we fail to meet the requirements for one (1) or two (2) Performance Metrics in a given month, we will submit a Corrective Action Plan (CAP) to the state within fifteen (15) calendars days following the documentation of failure to meet the metrics.  FDGS agrees the State will continue to withhold funds for the months in which we fail to meet missed Metric(s) and all subsequent months until we demonstrate the CAP has been implemented and further successfully meets the missed Metric(s) for two consecutive months following implementation of the CAP. |
| **12.3 Successfully Meeting One or Two Missed Metric(s) and Invoicing for the Withheld Amount**  Following verification that the missed Metric(s) have been met for two consecutive months as described in Section 12.2 above, Contractor may invoice the State for release of all withheld funds. | FDGS agrees we may invoice the state for all withheld funds following verification the missed Metric(s) have been met as described in section 12.2 of the RFP 23-72023, Attachment K. |
| **12.4 Failure to Meet the Service Levels for Three (3) or More Metric(s) – Permanent Withhold**  If Contractor fails to meet three (3) or more Performance Metrics in any given month, the State shall permanently retain the 10% withheld for that month’s invoice. Withheld amounts permanently retained by the State under this provision are not penalties or damages, but rather the payment of lower amounts for lower quality performance and value of services delivered by the Contractor under this Contract. | FDGS agrees failure to meet three (3) or more Performance Metrics in any given month, the State shall permanently retain the 10% withheld for that month’s invoice. |
| **12.5 Failure to Meet the Service Levels for Same Metric(s) for Three Consecutive Months – Permanent Withhold**  If the Contractor fails to meet the same Performance Metric for three consecutive months, the funds withheld for those months shall be permanently retained by the State due to overall diminished quality and value of services delivered by the Contractor under this Contract. | FDGS agrees if we fail to meet the same Performance Metric for three consecutive months, the funds withheld for those months shall be permanently retained by the State. |

As we have done throughout our tenure with the OMPP, we look forward to collaborating with OMPP and their Vendors with a focus on quality delivery of services which support the State of Indiana goals, initiatives and imperatives.

# Service Performance Metrics (Attachment K)

FDGS agrees that service levels will be tied to compensation, timeliness and ongoing performance of the Contractor and the performance plan, service levels and deadlines will be negotiated.