

## ATTACHMENT H - TECHNICAL COMPLIANCE MATRICES TEMPLATE

**Compliance Response Instructions:**

Proposers are required to submit a completed compliance response indicating the compliance being offered relative to the requirements for the CT METS Systems Integrator solicitation. Proposals received without a fully completed compliance matrix may be rejected as non-responsive. Proposers must indicate compliance in accordance with the codes and instructions as defined in the table below. In the "Comments" column for each requirement, Proposers should include information to demonstrate how their services and/or solution is compliant, not just state compliance. Proposers should also include a cross reference to a specific location in their proposal's technical submittal validating and elaborating on their response to each requirement. Failure to demonstrate compliance will be reflected in the evaluation of the proposal. The State reserves the right to request additional information and clarification for any response.

Response Code	Definition
F	Fully Compliant (proposed services and/or solution fully complies with this requirement) <i>Note - Proposers shall provide language demonstrating how their proposed solution meets the requirement. Additional information provided in the proposal can also be cross-referenced.</i>
E	Exceeds Requirement (proposed services and/or solution fully complies with AND exceeds this requirement) <i>Note - Proposers shall provide language demonstrating how their proposed solution exceeds the original requirement. An "E" response will be considered equivalent to an "F" response for the original requirement.</i>
CM	Complies with Modified Requirement (proposed services and/or solution only complies with this requirement if the Department adopts alternate proposed requirement language) <i>Note - Proposers shall provide alternate requirement language, to which they shall fully comply. The "CM" response will be considered equivalent to an "F" response if the Department opts to adopt the proposed alternate requirement language. The "CM" response will be considered equivalent to an "N" response (does not comply) if the Department opts to not adopt the alternate requirement language. If alternate requirement language is not proposed, the "CM" response will be considered equivalent to an "N" response (does not comply).</i>
N	Does Not Comply (proposed services and/or solution does not comply with this requirement). <i>Note - Accompanying comments are not required.</i>

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#	Req. #	Requirement	Contractor Compliance Response Code	Comments
1	PR A.1.1.1	Proposers must describe approach and methodology to meet the Phase 1 kickoff requirement		
2	PR A.1.1.2	Proposers must describe prior experience with kickoff presentations for a project of similar size and complexity to CT METS		
3	PR A.1.2.1.1	Proposers must describe approach and methodology to meet the DSS Project Management Processes and Templates requirement, including any deviations they propose from PMI/PMBOK or DSS PM Processes		
4	PR A.1.2.1.2	Proposers must describe prior experience with similar projects and approach to working closely and cooperatively with States, other State Contractors such as IV&V, OCM, and the EPMO, ensuring progress on the project proceeds according to plan and is not impeded.		
5	PR A.1.2.2.1	Proposers must describe prior experience and approach, including methodology, to meet the PMP requirement		
6	PR A.1.2.2.2	Proposers must describe how Phase 1 work will be coordinated, performed, monitored, controlled, and closed out		
7	PR A.1.2.2.3	Proposers must describe prior experience, methods and processes for managing and organizing project documentation in a customer-provided repository as well as provide any other innovative ideas for maintaining project documentation and artifacts		

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8	PR A.1.2.2.4	Proposers must describe their approach to developing mitigation plans required by CMS and outlined at 42 CFR 433.112 (b) (18) and SMDL 16-009. Proposers will include approach to address risks that could potentially affect the M&O phase and/or costs of the project down the road as well as approach to keeping mitigation plans updated and providing documentation needed for revised plans to be resubmitted to CMS through Advanced Planning Documents (APDs) and project reporting as risks and mitigations change along the system lifecycle		
9	PR A.1.2.3.1	Proposers must describe prior experience and approach including methodology to meet the Integrated Master Project Plan input and support requirement		
10	PR A.1.2.4.1	Proposers must describe approach and methodology to meet the Project Management Artifacts requirement		
11	PR A.1.2.4.2	Proposers must identify and describe any other project management artifacts not listed but recommended for a project like CT METS		
12	PR A.1.2.4.3	Proposers must describe approach and methodology to develop and manage the RTMs during Phase 1 of the project. The process must produce all-encompassing requirements for the Medicaid Enterprise technical infrastructure, computing environment, security, supporting components, module requirements and the RTMs to be included in the module procurement solicitations/RFPs		

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#	Req. #	Requirement	Contractor Compliance Response Code	Comments
13	PR A.1.2.5.1	Proposers must describe approach and methodology to meet the example projected PMP and PM artifacts for Phase 2 and projected approach for DDI Project Management for the modular MMIS, including how the SI will handle the transitional state of the rolling modular implementation into operations		
14	PR A.1.2.5.2	Proposers must provide prior experience with project management for a modular implementation. If proposers do not have this experience, proposers must address understanding of the unique challenges and mitigation strategies needed for successful project management of a rolling modular implementation and transitional operations as modules are incrementally implemented		
15	PR A.1.2.5.3	Proposers must describe approach, recommended tools, and methodology to manage an end-to-end requirements elicitation and RTM management process during Phase 2 of the project. The description must include how proposers recommend the RTM be managed and controlled during the DDI and Operations Phase and how that process is envisioned to fit into the overall SDLC process		
16	PR A.1.3.1.1	Proposers must provide a description of prior experience and approach including methodology to meet the Business Process Modeling Notation and Execution Language requirement		
17	PR A.1.3.1.2	Proposers must describe approach and method for mapping all business processes to the appropriate modules based on BPMN generated and provided by the OCM and SI contractor		

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18	PR A.1.3.1.3	Proposers must describe approach, methods, tools, and processes for creating BPMN and BPEL for business processes not within the purview of the OCM contractor or module contractors		
19	PR A.1.3.1.4	Proposers must describe the approach to transition future BPMN responsibility and maintenance to DSS after the process and tools are established for the CT METS project and initial mapping is complete		
20	PR A.1.3.2.1	Proposers must describe approach to identifying stakeholder participants for conducting Requirement Elicitation Sessions to ensure it is capturing all perspectives for user, technical, functional, and non-functional requirements, and modular cross-cutting dependency requirements in sufficient detail		
21	PR A.1.3.2.2	Proposers must describe approach to conducting Requirement Elicitation Sessions and documenting the modular RTM to ensure the capturing of all business, functional, and non-functional requirements. The requirements should be all encompassing including performance metrics, MECT/MECL checklists/certification requirements, and modular cross-cutting dependency requirements including training needs in sufficient detail to map and develop the requirements to include in the component and module RFPs		
22	PR A.1.3.2.3	Proposers must describe strategy for ensuring there are not any missed requirement areas leaving gaps such as orphaned functions or fiscal agent/service components, gaps in certification requirements, as well as demonstrate how the proposed solutions improve the state's MITA maturity and how the mapping and sequencing of modular implementation/replacement modules considers cost, benefit, schedule, and risk		

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23	PR A.1.3.2.4	Proposers must describe prior experience gathering, documenting, and tracing requirements for a project of similar size and complexity as CT METS		
24	PR A.1.3.3.1	Proposers must describe approach and methodology to meet the Connecticut IT Assets and Services Leverage Assessment requirement		
25	PR A.1.3.3.2	Proposers must describe prior experience with assessing leverage and reuse in the Medicaid Enterprise or in Health IT		
26	PR A.1.3.3.3	Proposers must describe how they will address and meet all CMS leverage and re-use requirements and adhere to guidance and regulations such as those documented in 42 CFR 433.112(b), State Medicaid Director's letters, CMS Standards and Conditions, the State Medicaid Manuals, and the Office of the National Coordinator for Health Information Technology (ONC) standards		
27	PR A.1.3.4.1	Proposers must describe approach and methodology to meet the Reference Data Management Analysis requirement		
28	PR A.1.3.4.2	Proposers must describe prior experience and provide an example Reference Management Analysis Report Table of Contents including descriptions of the contents that would be developed for CT METS		
29	PR A.1.3.4.3	Proposers must describe examples of various recommended sources of reference data that may be key for assessment of a potential Reference Data Management solution for the CT METS project. Proposers must describe factors to be considered when recommending placement and design of the reference data management function		
30	PR A.1.3.5.1	Proposers must describe approach and methodology to meet the Modular Solutions Alternatives and Feasibility Assessment requirement		

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31	PR A.1.3.5.2	Proposers must describe prior experience with feasibility study, requirements analysis, alternatives analysis, and cost benefit analysis		
32	PR A.1.3.5.3	Proposers must describe how they will meet the requirements of providing the required content in the Alternatives Analysis section of the IAPD-U for each module and technical infrastructure components		
33	PR A.1.3.6.1	Proposers must provide a description of approach and methodology to meet all DSS Architecture Governance Board (AGB) and CT METS Program Architecture Group Governance Participation requirements and provide SI staffing recommendations. Proposers must outline a vision for the role of the CT METS Program Architecture Group in assisting with the design of the CT METS technology infrastructure, integration platform, and operational planning during Phase 1. It is expected that critical design and infrastructure decisions will be made with input from these groups and considerations of critical factors such as the lowering of risks and future operations complexity and cost will be addressed during Phase 1		
34	PR A.1.4.1	Proposers must describe approach and methodology to meet the CT METS Master Data Management Strategy requirement		
35	PR A.1.4.2	Proposers must describe prior experience with Master Data Management approaches and implementations		
36	PR A.1.4.3	Proposers must describe prior experience and approaches with Data Governance in a health and human services and/or state government environment or comparable enterprise environment		

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#	Req. #	Requirement	Contractor Compliance Response Code	Comments
37	PR A.1.5.1	Proposers must describe approach and methodology to meet all the CT METS Technical Environment Design requirements including how the CMS MECT Checklists and Conditions and Standards will be specifically addressed and factored into the design		
38	PR A.1.5.2	Proposers must describe prior experience with designing a technical infrastructure for a successful modular Medicaid Enterprise or closely related health or human services enterprise of similar size and complexity to CT METS		
39	PR A.1.5.3	Proposers must describe any additional components or items that may be needed for a state-of-the-art modern Medicaid modular technical infrastructure and computing environment not listed or discussed in this RFP		
40	PR A.1.5.4	Proposers must describe approach to providing the CT METS testing infrastructure and CT METS test management framework, the standards for test management, and the approach to development of an RFP for a testing contractor		
41	PR A.1.5.5	Proposers must describe approach to ensuring the CT METS technical architecture, infrastructure, and solutions are planned and designed to produce the needed transaction data, reports, and performance information that would contribute to program evaluation, continuous improvement in business operations, transparency and accountability		
42	PR A.1.5.6	Proposers must describe approach to the program architecture and infrastructure design that ensures integration and interoperability will be achieved between existing systems and new modules and system components that are implemented as a state-built solution, commercial off-the-shelf (COTS), or reused from another state's solution		
43	PR A.1.6.1	Proposers must describe approach and methodology to meet all the CT METS Data Conversion Strategy requirements		



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44	PR A.1.6.2	Proposers must describe strategy for converting and validating the accuracy of all legacy Medicaid and health data into the new Connecticut Medicaid Enterprise		
45	PR A.1.6.3	Proposers must describe prior experience with data conversion for a modular Medicaid Enterprise Solution or a project of similar size and complexity to CT METS		
46	PR A.1.7.1	Proposers must describe approach and methodology to meet all the CT METS Privacy and Security Strategy requirements, including key privacy and security considerations described in Section 1.7		
47	PR A.1.7.2	Proposers must describe prior experience with implementing successful Medicaid Enterprise or other health or human services systems which are fully compliant with federal privacy and security standards, including their experience performing PIAs		
48	PR A.1.7.3	Proposers must describe approach to meeting the unique privacy and security challenges presented by the modular structure and rolling implementation of the CT METS project		
49	PR A.1.7.4	Proposers must describe the roles and qualifications of staff who will be performing key security and privacy tasks during the project		
50	PR A.1.8.1	Proposers must describe prior experience in developing Business Continuity and Disaster Recovery Strategy and requirements		

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#	Req. #	Requirement	Contractor Compliance Response Code	Comments
51	PR A.1.8.2	<p>Proposers must describe the approach and methodology they will use to develop a strategy and plan BC/DR requirements and deliverables that includes at a minimum:</p> <ul style="list-style-type: none"> <li>• Framework for BC/DR design, testing, and deployment</li> <li>• Approach that outlines process requirements and elements that will drive an enterprise approach to the modular BC/DR design, testing, and deployment, including the unique challenges presented during the transition period when modules are being implemented incrementally</li> <li>• Approach to Metrics and acceptance criteria for each module's BC/DR plan</li> </ul>		
52	PR A.1.9.1	Proposers must describe approach and methodology to meet all the CT METS Modular Impact Assessment on Current Operations requirements and deliverables including methods, processes, and target areas for conducting the Modular Implementation Impact Assessment on current operations		
53	PR A.1.9.2	Proposers must describe prior experience in conducting impact assessments and impact risk mitigation strategies		
54	PR A.1.9.3	Proposers must describe approach to the impact risk mitigation strategy/plan and provide an outline of a representative example		
55	PR A.1.9.4	Proposers must describe approach to identify transitional operations changes to Desk Level Procedures (DLP) for Medicaid Operations and determining operational readiness for each modular implementation to avoid service disruptions, delays, and negative impacts to the Connecticut Medicaid program		
56	PR A.1.10.1	Proposers must describe approach and methodology to meet all the CT METS SDLC framework, ITSM, and Program Governance strategy and plan requirements and deliverables		

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#	Req. #	Requirement	Contractor Compliance Response Code	Comments
57	PR A.1.10.2	Proposers must describe prior experience developing and implementing Agile or hybrid SDLC framework and processes, ITSM, and the tools and technologies used to manage them for a modular Medicaid Enterprise system or another project of similar size and complexity to CT METS		
58	PR A.1.10.3	Proposers must provide a representative table of contents and brief description of the contents for an SDLC and ITSM strategy and framework for CT METS		
59	PR A.1.11.1	Proposers must describe approach and methodology to meet all the CT METS MECT/MECL Compliance and CT METS Modular Certification Strategy requirements and deliverables		
60	PR A.1.11.2	Proposers must describe approach to CMS modular MMIS certification process, including creating artifacts and documentation necessary for CMS review and progress reports		
61	PR A.1.11.3	Proposers must describe prior experience coordinating the efforts of multiple module contractors in preparation for and support during CMS milestone and certification reviews		
62	PR A.1.12.1	Proposers must describe approach and methodology to meet all the CT METS Assessment and Recommendations Report requirements		
63	PR A.1.13.1	Proposers must describe approach and methodology to meet all the CT METS Final Conceptual Design, Modular Operating Model, and Updated Modular Roadmap requirements and deliverables		
64	PR A.2.1.1.1	Proposers must provide an approach and methodology to developing and executing SOWs for SI Phase 2 DDI efforts		

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#	Req. #	Requirement	Contractor Compliance Response Code	Comments
65	PR A.2.1.1.2	Proposers must provide a Rate Catalog sufficient to cover all activities and personnel that may be needed for Phase 2 including operations; this will be used during Phase 2 DDI and for operations support and M&O Scopes of Work cost calculations		
66	PR A.2.1.1.1.1	Proposers must provide a description of approach and methodology to meet the SI Phase 2 kickoff requirement		
67	PR A.2.1.1.2.1	Proposers must provide a description of their approach and methodology to meet all of the SI Phase 2 Project Management Plan components, artifacts, and required responsibilities		
68	PR A.2.1.1.3.1	Proposers must provide a description of their approach for SI participation in the DSS AGB and Program Architecture group during Phase 2 (DDI) of the project. Proposers must describe how the DSS AGB and CT METS Program Architecture group should be utilized to assist the CT METS technology infrastructure development, module component development, integration platform development, computing environment and hosting set up, and operations execution phase with the focus on lowering risks and future operations complexity and cost		
69	PR A.2.1.1.4.1	Proposers must provide a description of their approach and methodology to meet all the Business Process Modeling Notation and Execution Language requirements during Phase 2		
70	PR A.2.1.1.5.1	Proposers must provide a description of their approach and methodology to meet all the integration platform requirements - module integration, interface, and file transfer requirements and all related services		
71	PR A.2.1.1.6.1	Proposers must provide a description of their approach and methodology to meet all the Data Conversion requirements		

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72	PR A.2.1.1.7.1	Proposers must provide a description of their approach and methodology to meet all the requirements to operationalize the SDLC/ITSM Process, Governance, and Support Services as defined and approved during Phase 1		
73	PR A.2.1.1.8.1	Proposers must provide a description of their approach and methodology to meet all the integration requirements for a security solution, single sign on, and identity and access management		
74	PR A.2.1.1.9.1	Proposers must provide a description of their approach and methodology to meet all the CT METS Privacy and Security Program requirements		
75	PR A.2.1.1.10.1	Proposers must provide a description of their approach and methodology to meet the requirements of operationalizing the BC/DR for CT METS including the transitional operations and rolling modular implementations		
76	PR A.2.1.1.11.1	Proposers must provide a description of their approach and methodology to meet all the CT METS Certification requirements		
77	PR A.2.1.1.12.1	Proposers must provide a description of their approach and methodology to estimating and controlling operational cost and managing CT METS M&O requirements including transitional Desk Level Procedures (DLP) for Medicaid operations in the transitional phase		
78	PR A.2.1.1.12.2	Proposers must provide their approach to keeping M&O costs within the limits of the current costs to operate the Connecticut MMIS and Medicaid operations and/or achieve improvements by reducing operations costs		

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#	Req. #	Requirement	Contractor Compliance Response Code	Comments
79	PR B. 1.1	Proposers must describe approach and methodology to meet the current Phase 1 timeline and provide a suggested timeline with rationale and plans to minimize impact to the overall project		
80	PR B. 1.2	Proposers must describe approach and outlined level of effort for SI Phase 2 DDI activities		
81	PR B. 2.1	Proposers must describe approach and experience with delivering timely high-quality deliverables, work products, and artifacts		
82	PR B. 6.1	Proposers must provide organizational staffing strategy and plan, including identification of key staff and other requirements listed in Section B. 6. b, meeting all requirements of the engagement		
83	PR B. 6.2	Proposers must provide three (3) references for key staff, meeting all requirements listed in Section B.6 b.		
84	PR B. 6.3	Proposers must provide resumes for key staff, meeting all requirements listed in Section B.6. b.		
85	PR B. 6.4	Proposers must identify any current project work that is underway by the proposed staff or vendor in which SI services are being performed		
86	PR B. 7.1	Proposers must describe approach and methodology to meet the requirements for Contractor Privacy and Security Responsibilities in Section B.7		
87	PR B. 7.2	Proposers must describe prior experience with projects involving sensitive data available to contractor staff		

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88	PR B. 7.3	Proposers must describe approach to developing and enforcing a Privacy and Security Plan for their staff		
89	PR B. 8.1	Proposers must download, fill and submit the CMS Required Assurances Table with their assessment of the requirements applicable to the SI scope of work and their rationale for those requirements they judge to be inapplicable		
90	PR B. 9.1	Proposers must describe value-added services which enhance the SI Contractor's solution and contribute to the successful implementation of the CT METS Program		