# Requirements Traceability Matrix Instructions

**The Requirements Traceability Matrix (RTM) is used to document and track the project requirements from the proposal through the CMS Certification process.. The Contractor is responsible for maintaining the set of Baseline Requirements directly related to the configuration of the MES components. Additions, modifications, and deletions to these requirements post contract award shall be added and modified timely, with DMAS approval and a current version of the matrix shall be maintained at all times. The Contractor shall provide an initial RTM as part of its proposal per the instructions below. The RTM will be maintained in Excel format until or unless DMAS approves an alternate format.**

| Column | Instructions |
|---|---|
| Requirement ID | The unique identifier for the requirement as assigned by DMAS. **This column shall not be modified by the Bidder.** |
| Requirement | The statement of the requirement to which the Bidder must respond. **This column shall not be modified by the Bidder.** |
| Compliant? | The Bidder shall indicate “Y” (Yes) or “N” (No) as to whether their solution is compliant with the requirement. |
| Availability | The Contractor shall indicate one of the following: |
| | A = Functionality is currently operational |
| | B = Functionality is planned |
| | C = Functionality is not currently planned |
| Date | For Availability code "B" bidder shall provide the planned availability date |
| Proposal Mapping | The Bidder shall provide cross-reference to the location(s) of where compliance with each requirement is described in their proposal. |

# Technology Standards Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-TECH-STND-001 | All the artifacts developed as part of the proposed solution shall be compliant with the CMS and HIPAA standards and requirements. | | | | |
| FMS-TECH-STND-002 | The Solution shall use rules based, table driven modular, and reusable components. | | | | |
| FMS-TECH-STND-003 | The Solution shall facilitate online, browser based Web capabilities with no client component download(s) for all authorized end users including, but not limited to providers and members. | | | | |
| FMS-TECH-STND-004 | The Solution shall support functionality to interface with multiple entities outside the MES for exchange of information. | | | | |
| FMS-TECH-STND-005 | The Solution shall comply with all current and future HIPAA standard Transactions and Code Sets (TCS) in place or mandated by the Commonwealth and CMS. | | | | |
| FMS-TECH-STND-006 | The Solution shall implement standard policies and practices to ensure the security and integrity of the information to be exchanged. | | | | |
| FMS-TECH-STND-007 | The Solution shall provide notification to the ISS Contractor of all changes to application program interface (API) on a timely basis. | | | | |
| FMS-TECH-STND-008 | The Solution shall provide standard and ad hoc reporting capabilities for all modules of the proposed solution which are accessed by Department end users and other stakeholders. | | | | |

# Technology Standards Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-TECH-STND-009 | The Solution shall meet the Federal reporting requirements and performance standards as defined by CMS and the CMS certification checklists. | | | | |
| FMS-TECH-STND-010 | The Solution shall implement and support a reporting repository with Web based access by authorized end users, including the ability to extract data to be used with desktop applications. | | | | |
| FMS-TECH-STND-011 | The Solution shall provide interoperability between the modules of the proposed solution and Commonwealth imaging and document management systems. All Commonwealth documents and images on any media type received or disseminated shall be accessible, stored, and indexed on the Enterprise Content Management system. | | | | |
| FMS-TECH-STND-012 | The Solution shall allow users to select among several format types (e.g., PDF, Microsoft Excel, Microsoft Word) for any outputs produced. The output media types shall be role based or by individual end user(s). | | | | |
| FMS-TECH-STND-013 | The Solution shall implement relevant standards including, but not limited to NIEM, CAQH-CORE, HL7, and HIPAA for data interchange. | | | | |

# Technology Standards Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-TECH-STND-014 | The Solution shall provide single sign-on (SSO) capability using Commonwealth standards for login and authentication. The Contractor's system shall include an end user authentication process that permits the end user to enter one (1) name and password to access multiple applications. This process authenticates the user for those applications they have access rights to and eliminates the need for further prompts when switching between applications during a session. | | | | |
| FMS-TECH-STND-015 | The Solution shall process all inbound and outbound files at a frequency as defined by the Department. | | | | |
| FMS-TECH-STND-016 | The Solution shall support and monitor the processing of all transaction files and notify the Department of all transactions which have not been processed successfully. | | | | |
| FMS-TECH-STND-017 | The Solution shall accept and apply interface data accurately 100% of the time. | | | | |
| FMS-TECH-STND-018 | The Solution shall reconcile errors identified during the processing of any transaction file and reprocess partner transactions within the agreed upon SLA. | | | | |
| FMS-TECH-STND-019 | The Solution shall comply with Commonwealth and Federal records management policies and retention schedules. | | | | |
| FMS-TECH-STND-020 | The Solution shall ensure archived data is retrievable, formatted to match the original intake document, and shows the changes during processing. | | | | |

# Technology Standards Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-TECH-STND-021 | The Solution shall comply with all Commonwealth and Federal laws, grant requirements, rules, regulations, guidelines, policies, and procedures for destruction of records. | | | | |
| FMS-TECH-STND-022 | The Solution shall retain all records for both paper and electronic claims as per the Commonwealth and Federal guidelines. | | | | |
| FMS-TECH-STND-023 | The Solution shall comply with and align with Commonwealth Technology Standards. | | | | |
| FMS-TECH-STND-024 | The Solution for proposed interfaces to Commonwealth systems shall comply with or have approved exceptions to all applicable Commonwealth Data Standards as found at: http://www.vita.virginia.gov/oversight/default.aspx?id=10344 If not, please explain. | | | | |

# Technology Standards Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-TECH-STND-025 | The Solution shall provide effective, interactive control and use with nonvisual means and provide 508 Compliance in accordance with the following standard regarding IT Accessibility and 508 Compliance: http://www.vita.virginia.gov/uploadedFiles/Library/AccessibilityStandard_GOV103-00_Eff_11-04-05.pdf (Refer to www.section508.gov and www.access-board.gov for further information)<br><br>If yes, please describe how this functionality is achieved and include a completed Voluntary Product Accessibility Template (VPAT) with your proposal. (The VPAT template is located in APPENDIX C of the Accessibility Standard (GOV103-00)).<br><br>If no, does your solution/application/product provide alternate accessibility functionality? Please describe. | | | | |
| FMS-TECH-STND-026 | The Solution shall comply with all current COV ITRM Policies and Standards, as applicable, found at: http://www.vita.virginia.gov/library/default.aspx?id=537? If proposed solution does not, please provide details that specify the Standard/Policy and how Contractor's solution does not comply. | | | | |

# Major Milestones and Deliverables Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-PROJ-DDI-001 | The Contractor shall provide a description of a Project Management methodology that will be used to implement the Solution that follows Project Management industry best practices while coordinating changes with the ISS Contractor and other contractors. The Contractor shall propose tools, processes, and procedures for the Project Management methodology. | | | | |
| FMS-PROJ-DDI-002 | The Contractor shall provide the deliverables identified for each of the project phases in Appendix I:<br>▪Initiation<br>▪Planning<br>▪Execution and Control<br>▪Implementation<br>▪Closeout<br>▪Evaluation | | | | |
| FMS-PROJ-DDI-003 | The Contractor shall provide the status of the project to the MES Program Management Office according to the schedule outlined in the DDI Project Plan chart in Appendix I.<br>The Contractor PMO shall include the following in the weekly status reporting for the lifecycle of the project:<br>▪Issues and Risk Management<br>▪Milestone status<br>▪Change Management<br>▪Action Items Management<br>▪Project Meeting Minutes | | | | |

# Major Milestones and Deliverables Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-PROJ-DDI-004 | For any milestones or deliverables which are missed or projected to be missed, the Contractor shall provide a Corrective Action Plan (CAP) that includes the following information:<br>▪Root cause<br>▪Impact on schedule, scope and costs<br>▪Milestone recovery strategy<br>▪Milestone recovery date<br>▪Project recovery strategy<br>▪Project recovery date | | | | |
| FMS-PROJ-DDI-005 | The Contractor shall follow the DDI Change Management process agreed to by DMAS. An Enterprise Change Management process shall be established by the ISS Contractor and Program Management Office along with Contractor input to address scope, schedule, or cost changes. | | | | |
| FMS-PROJ-DDI-006 | The Contractor shall conduct detailed design and joint application requirement meetings with Department staff, other impacted MES solution contractors, and ISS Contractor staff to produce a detailed specification design document for development, configuration, testing, and implementation. | | | | |
| FMS-PROJ-DDI-007 | The Contractor shall provide a revised work breakdown structure from the original submission, which includes the Department project team and ISS Contractor activities (provided by the ISS Contractor) and any other impacted MES contractors which have been mutually agreed-upon dependencies for DMAS approval. | | | | |

# Major Milestones and Deliverables Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-PROJ-DDI-008 | The Contractor shall provide a Project Manager (PM) with the Key Staff requirements and agrees to replace the PM only if necessary, and with someone possessing equally or more qualified skills and experience, as approved by the agency. | | | | |
| FMS-PROJ-DDI-009 | The Contractor shall entertain baseline changes to the COTS package and provide a method for enhancement input in lieu of customizations through a User Input group or another forum to accept product input. | | | | |
| FMS-PROJ-DDI-010 | The Contractor shall provide a Hardware and Equipment Acquisition Plan for the DDI. | | | | |
| FMS-PROJ-DDI-011 | The Contractor shall provide a Software Acquisition and Installation Plan for the DDI. | | | | |
| FMS-PROJ-DDI-012 | The Contractor shall provide a Risk Management Plan for the DDI. | | | | |
| FMS-PROJ-DDI-013 | The Contractor shall provide a Quality Management Plan for the DDI. | | | | |
| FMS-PROJ-DDI-014 | The Contractor shall provide an Implementation and Transition Plan for the DDI which is coordinated with Department staff, and possibly other dependent MES contractors. | | | | |
| FMS-PROJ-DDI-015 | The Contractor shall provide a Training Plan for the DDI which addresses business owner input to satisfy operational needs. | | | | |
| FMS-PROJ-DDI-016 | The Contractor shall conduct all DDI training in accordance with the approved DDI Training Plan. | | | | |

# Major Milestones and Deliverables Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-PROJ-DDI-017 | The Contractor shall provide a Training Plan for Operations which ensures ongoing operational training needs are met. | | | | |
| FMS-PROJ-DDI-018 | The Contractor shall conduct all Operations training in accordance with the approved Operations Training Plan. | | | | |
| FMS-PROJ-DDI-019 | The Contractor shall analyze and document project lessons learned, hold a walkthrough meeting of the results, and provide an evaluation report. | | | | |
| FMS-PROJ-DDI-020 | The Contractor shall provide a Communications Management Plan which addresses all stakeholders' communication needs for the project. | | | | |
| FMS-PROJ-DDI-021 | The Contractor shall provide a Performance Reporting Plan which includes status reporting and critical success factors. | | | | |
| FMS-PROJ-DDI-022 | The Contractor shall provide a Documentation Management Plan that:<br>▪ Identifies all of the documentation and deliverables that will be produced to support its DDI methodology as well as on-going Operations and Maintenance.<br>▪ Provides what is needed by the Contractor to successfully implement and operate the proposed solution.<br>▪ Provides DMAS with the information it requires to understand and approve the details of the solution as well as provide the information it needs to fulfill its business requirements with respect to the solution. | | | | |

# Major Milestones and Deliverables Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-PROJ-DDI-023 | The Contractor shall provide a draft of the Policy and Procedures Manual as described in the Managed Environment section in Exhibit H. | | | | |
| FMS-PROJ-DDI-024 | The Contractor shall provide a final Policy and Procedures Manual as described in the Managed Environment section in Exhibit H. | | | | |
| FMS-PROJ-DDI-025 | The Contractor shall provide an Operating Level Agreement as described in the Managed Environment section in Exhibit H. | | | | |
| FMS-PROJ-DDI-026 | The Contractor shall provide a Release Management plan and milestones on an annual schedule with an approach to work with the ISS Contractor, any other impacted MES Contractor, and DMAS PMO with a desired 6-month lead time. | | | | |
| FMS-PROJ-DDI-027 | The Contractor shall provide a detailed project plan for each new project or release that is coordinated with the ISS Contractor, any other impacted MES Contractor, and agency PMO. | | | | |
| FMS-PROJ-DDI-028 | The Contractor shall provide a Resource Utilization and Acquisition plan for each new project or release including Project Management, technical support, and business support as needed. | | | | |
| FMS-PROJ-DDI-029 | The Contractor shall develop a Root Cause Analysis process and reporting in conjunction with the ISS Contractor for all defects discovered. | | | | |

# Major Milestones and Deliverables Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-PROJ-DDI-030 | The Contractor shall create a DDI Project Management Plan according to the schedule outlined in Appendix I to be approved by DMAS. The project management plan shall include:<br>▪Quality Management Plan<br>▪Scope Management Plan<br>▪Requirements Management Plan<br>▪Risk and Issues Management Plan<br>▪Change Management Plan<br>▪Configuration Management Plan<br>▪Project Performance Management Summary Plan<br>▪Communications Management Plan<br>▪Documentation Management Plan<br>▪Training Plan<br>▪Disaster Recovery Plan - DDI<br>▪Business Continuity Plan<br>▪Turnover Plan | | | | |
| FMS-PROJ-DDI-031 | The Contractor shall develop a Project Work Breakdown Structure (WBS) to include both Contractor and DMAS milestones and tasks. An initial Work Plan, according to the schedule outlined in Appendix I, shall involve top-down planning. The work plan shall adhere to PMBOK® best practices for project management. The WBS shall include tasks, resources, deliverables, task dependencies, percent complete, planned start, planned finish, actual start, and actual finish columns. The baseline work plan shall be delivered within 60 days of contract signing unless otherwise agreed to by the Agency. The Work Plan shall be updated and presented weekly. | | | | |

# Major Milestones and Deliverables Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-PROJ-DDI-032 | The Contractor's PMO shall participate in Agency Integration and Program Management Meetings. | | | | |
| FMS-PROJ-DDI-033 | The Contractor shall make Project Documents available online to the Agency and contractor staff including but not limited to: work plan, status reports, status meeting agenda, and minutes. | | | | |
| FMS-PROJ-DDI-034 | The Contractor shall develop a Project CMS Certification Plan which defines the Contractor's approach to CMS certification. It shall include processes and procedures which will be used to manage certification requirements throughout the project lifecycle. The plan shall include, but not be limited to: completing the certification checklist, complete certification phase deliverables, validate solution functionality against the checklist, and create traceable deliverables to the checklist. | | | | |
| FMS-PROJ-DDI-035 | The Contractor shall create documents which support certification activities. | | | | |
| FMS-PROJ-DDI-036 | The Contractor shall assist and participate in CMS certification visits. | | | | |
| FMS-PROJ-DDI-037 | The Contractor shall respond to CMS queries during and after the site visit. | | | | |
| FMS-PROJ-DDI-038 | The Contractor shall provide training which includes specific areas such as quality management, risk management, requirements management, overall design and development of the solution and be comprehensive enough so the Agency PMO can participate in the deliverable production and review process. | | | | |

# Major Milestones and Deliverables Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-PROJ-DDI-039 | The Contractor's PMO shall work with DMAS and have a PM and other resources willing to periodically be onsite to attend meetings and to conduct presentations as requested. | | | | |
| FMS-PROJ-DDI-040 | The Contractor shall provide a deliverable tracking method to ensure all DDI related deliverables have been accounted for and scheduled and coordinated with the Department MES PMO. All deliverables shall be approved by DMAS. | | | | |
| FMS-PROJ-DDI-041 | The Contractor shall provide an Escalation Management Plan to include risk and issue resolution paths through the organizational structure. | | | | |
| FMS-PROJ-DDI-042 | The Contractor shall provide the status of the project to the MES Program Management Office according to the schedule outlined in the DDI Project Plan chart Appendix I with input from the DMAS MES PMO.<br>Reports shall contain Key Project indicators including Cost Performance Index (CPI) and Schedule Performance Index (SPI). The reports shall convey upcoming milestones progress and overall percentage complete. The report shall have updates on risks, issues and action items. A dashboard shall be created with standards for reporting Green, Yellow, or Red status. Any Red status reporting shall be accompanied by a Corrective Action Plan (CAP). The Contractor shall provide weekly meeting minutes. | | | | |
| FMS-PROJ-DDI-043 | The Contractor shall provide end user documentation written in a procedural, systematic format, and aligned with business transformation documents. | | | | |

# Major Milestones and Deliverables Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-PROJ-DDI-044 | The Contractor shall ensure that abbreviations and acronyms are defined and consistent throughout the documentation. | | | | |
| FMS-PROJ-DDI-045 | The Contractor shall use consistent field names for the same fields on different records throughout the documentation. | | | | |
| FMS-PROJ-DDI-046 | The Contractor shall provide online documentation, including an online search capability with context sensitive help screens. | | | | |
| FMS-PROJ-DDI-047 | The Contractor shall ensure definitions of codes used in various sections of end user manuals are consistent. | | | | |
| FMS-PROJ-DDI-048 | The Contractor shall identify acronyms used in end user instructions, and ensure that they are consistent with windows, screens, reports, and the data element dictionary. | | | | |
| FMS-PROJ-DDI-049 | The Contractor shall provide illustrations of windows and screens used in that module, with all data elements on the screens identified by number, in each end user manuals. | | | | |
| FMS-PROJ-DDI-050 | The Contractor shall provide an electronic documentation format that facilitates efficient and immediate updating and dissemination of new or modified data. | | | | |

# Major Milestones and Deliverables Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-PROJ-DDI-051 | The Contractor shall provide a way to update the electronic versions of the document. Each version shall have:<br>▪All pages numbered within each section<br>▪A new revision date on each page<br>▪All revisions clearly identified in bold print | | | | |
| FMS-PROJ-DDI-052 | The Contractor shall create and maintain end user documentation consistent with the current Department standards. | | | | |
| FMS-PROJ-DDI-053 | The Contractor shall provide documentation to the Department on request on encrypted DVD/CD-ROM, and ensure access to end users via the website during the Operations Phase. | | | | |
| FMS-PROJ-DDI-054 | The Contractor shall ensure end user documentation is written and organized so that end users not trained in applications can learn from reading the documentation how to access the online windows/screens, read module reports, and perform ad hoc report development and other related end user functions. | | | | |
| FMS-PROJ-DDI-055 | The Contractor shall present descriptions of error messages for all fields incurring edits, including the necessary steps to correct such errors. | | | | |

# Major Milestones and Deliverables Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-PROJ-DDI-056 | The Contractor shall provide a section in each end user manual describing all reports generated within the business area or function, which includes the following:<br>▪A narrative description of each report<br>▪The purpose of the report<br>▪Definition of all fields in the report, including detailed explanations of calculations used to create all data and explanations of all subtotals and totals<br>▪Definitions of all user defined, report specific code descriptions; and copies of representative pages of each report | | | | |
| FMS-PROJ-DDI-057 | The Contractor shall present together all functions and supporting material for file maintenance (e.g., coding values for fields and the names of the files presented as independent sections of the manual). | | | | |
| FMS-PROJ-DDI-058 | The Contractor shall ensure that instructions for making online updates clearly depict which data and files are being changed. | | | | |
| FMS-PROJ-DDI-059 | The Contractor shall ensure that documentation does not contain any protected health information (PHI). | | | | |
| FMS-PROJ-DDI-060 | The Contractor shall use draft versions of end user documentation as the basis for UAT and training, unless otherwise specified by the Department. Final versions shall be updated and completed for training before the start of the operations. | | | | |

# Major Milestones and Deliverables Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-PROJ-DDI-061 | The Contractor shall exclude Contractor(s) trademarks, logos, and identifying information in, or on all documentation. | | | | |
| FMS-PROJ-DDI-062 | The Contractor shall provide online hyperlinks with references to Medicaid and non-Medicaid policy origination documents managed by the Department and the Contractor. | | | | |
| FMS-PROJ-DDI-063 | The Contractor shall provide a writing style-guide for all documentation for purposes of creating consistency among all documents and containing a maintained list of acronyms used. | | | | |
| FMS-PROJ-DDI-064 | The Contractor shall implement internal policy and procedures to promote data documentation, development, and management of defined data entities, attributes, data models, and relationships sufficiently to convey the overall meaning and use of Medicaid data and information. | | | | |
| FMS-PROJ-DDI-065 | The Contractor shall support the adoption of statewide standard data definitions, data semantics, and harmonization strategies. | | | | |
| FMS-PROJ-DDI-066 | The Contractor shall maintain the following flow diagrams:<br>▪Overall system flow<br>▪Each individual module flow<br>▪Business process flow<br>▪Business architecture<br>▪Technical architecture<br>▪Network architecture | | | | |

# Major Milestones and Deliverables Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-PROJ-DDI-067 | The Contractor shall maintain the following items for reference and it shall be searchable from the web. Also it shall be kept for each environment and access to these items shall be granted to the Commonwealth and the Department.<br>▪List of application servers and its usage<br>▪List of web servers and its usage<br>▪List of ESB and its usage<br>▪Network IP and port details<br>▪Environment variables<br>▪Hyperlinks<br>▪Document links<br>▪Organization chart<br>▪Contact details<br>▪On-call support | | | | |

# Testing Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-TEST-001 | The Contractor shall provide an Integrated Test Facility (ITF) which includes separate environments for all test phases, to include at a minimum; unit, integration, SIT, UAT, interface, performance, regression, ORT, system recovery, and mock production. | | | | |
| FMS-TEST-002 | The Contractor shall provide the Department with access to the ITF as required for testing onsite, from Commonwealth offices, and/or remotely during the DDI phase and throughout the life of the Contract. | | | | |
| FMS-TEST-003 | The Contractor shall provide the capability for version control in the ITF. | | | | |
| FMS-TEST-004 | The Contractor's test environment(s) shall be capable of mirroring the production system in its size, files, databases, processing, and reporting. | | | | |
| FMS-TEST-005 | As system improvements or enhancements are implemented, that functionality shall also be deployed to test environments. | | | | |
| FMS-TEST-006 | Test environment(s) data refresh shall be scheduled per the DMAS approved Change Management Plan. | | | | |
| FMS-TEST-007 | The Contractor shall provide a process for extracting data from the production environment and importing into non-production environments. | | | | |
| FMS-TEST-008 | The Contractor shall provide a process for masking, sanitizing, scrambling, or de-sensitizing sensitive data (e.g. PII/PHI) when extracting data from the production environment for use in non-production environments. | | | | |

# Testing Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-TEST-009 | The Solution shall provide the ability to perform temporal testing within all testing environments. | | | | |
| FMS-TEST-010 | The Solution shall provide the ability to allow a tester to easily manipulate the system date for temporal testing. | | | | |
| FMS-TEST-011 | The Solution shall provide the ability to execute performance tests of a simulated user load consistent with the actual load projected or used in production. | | | | |
| FMS-TEST-012 | The Contractor shall support provider testing of new provider claims submission systems by allowing providers to submit direct data entry claims and electronic claims test files that are processed through the adjudication cycle without impact on system data. | | | | |
| FMS-TEST-013 | The Contractor shall utilize a DMAS approved or supplied automated testing tool that works seamlessly with all components of the MES. | | | | |
| FMS-TEST-014 | The testing tool shall include predictive modeling that supports the ability to run “What if” scenarios related to a variety of parameters including, but not limited to rates, coverage, and budgets using historical production claims. | | | | |
| FMS-TEST-015 | The Contractor shall design and document detailed test cases for each sub-phase of testing. | | | | |
| FMS-TEST-016 | The Contractor shall provide test cases that include identifications, detailed steps, expected results, and actual results. | | | | |

# Testing Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-TEST-017 | The Contractor shall utilize a well-established and DMAS approved or supplied defect tracking tool for management and reporting of system defects. | | | | |
| FMS-TEST-018 | The Contractor shall perform regression testing for all defects identified and provide regression testing results. | | | | |
| FMS-TEST-019 | The Contractor shall submit all test results for each test sub-phase to DMAS which includes: number of test scenarios, cases, and scripts executed; pass/fail ratio; number of defects identified and corrected along with their severity ranking. | | | | |
| FMS-TEST-020 | The Contractor shall communicate the progress of the System Integration Test effort through a regular progress report. This report shall address all test scenarios and test cases and report the status of the test effort relative to the test schedule. | | | | |
| FMS-TEST-021 | The Contractor shall track and report weekly on the defects identified and the progress made toward resolution of the defects during the System Integration Test effort. | | | | |
| FMS-TEST-022 | The Contractor shall document and present the results from the System Integration Testing. | | | | |
| FMS-TEST-023 | The Contractor shall obtain DMAS approval of all tests results before testing is considered complete. | | | | |
| FMS-TEST-024 | The Contractor shall plan for and include Department participation and involvement in all testing efforts throughout the Software Development Lifecycle. | | | | |

# Testing Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-TEST-025 | The Contractor shall provide training on the system, process, and tools that will be used to execute UAT and training on the operation of the technical environment to support user validation. | | | | |
| FMS-TEST-026 | The Contractor shall support DMAS in all testing activities by providing support staff and technical expertise. | | | | |
| FMS-TEST-027 | The Contractor shall provide a functional demonstration of the system including any changes or enhancements prior to user acceptance testing. | | | | |
| FMS-TEST-028 | The Contractor shall develop a Test Management Plan to successfully meet business needs for initial product implementation. | | | | |
| FMS-TEST-029 | The Test Management Plan shall include the approach to each of the test phases as outlined in the Required Testing Methods. | | | | |
| FMS-TEST-030 | The Test Management Plan shall include the testing schedule. | | | | |
| FMS-TEST-031 | The Test Management Plan shall describe how, and at which phase, other Contractor products will be incorporated in the overall testing. | | | | |
| FMS-TEST-032 | The Test Management Plan shall include roles and responsibilities throughout all testing phases. | | | | |
| FMS-TEST-033 | The Test Management Plan shall describe how test scenarios, test cases, and test results will be traced to requirements. | | | | |

# Testing Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-TEST-034 | The Test Management Plan shall describe the processes, procedures, and tools for problem identification and resolution. | | | | |
| FMS-TEST-035 | The Test Management Plan shall include templates of test progress and defect reports. | | | | |
| FMS-TEST-036 | The Test Management Plan shall describe how regression testing will be done at all levels when errors are corrected. | | | | |
| FMS-TEST-037 | The Test Management Plan shall discuss contingencies for risk mitigation and delays during the test effort. | | | | |
| FMS-TEST-038 | The Test Management Plan shall define procedures for notifying DMAS of problems discovered in testing, testing progress, and adherence to the test schedule. | | | | |
| FMS-TEST-039 | The Test Management Plan shall include a strategy for enhancing system performance based on findings obtained during test activities. | | | | |
| FMS-TEST-040 | The Test Management Plan shall include a description of the process used for the identification and preparation of data required for the System Integration Test effort, including a description of the use of converted data during test. | | | | |
| FMS-TEST-041 | The Test Management Plan shall describe the process employed for security testing, including compliance for handling of PII and PHI. | | | | |

# Testing Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-TEST-042 | The Test Management Plan shall include a description of entry criteria and prerequisites to the System Integration Test effort. | | | | |
| FMS-TEST-043 | The Test Management Plan shall define the exit criteria which, when met and approved by DMAS, provide evidence of the completion of the System Integration Test effort. | | | | |
| FMS-TEST-044 | The Contractor shall provide a walk-through of the Test Management Plan before submitting to DMAS for approval. | | | | |
| FMS-TEST-045 | The Contractor shall submit the Test Management Plan for DMAS review and approval. | | | | |
| FMS-TEST-046 | The Test Management Plan shall describe how the Contractor will work with DMAS and MES QA Contractor to develop the Acceptance Test Plan and Test Cases. | | | | |
| FMS-TEST-047 | The Test Management Plan shall define how defect tracking is used to identify organizational or procedural weaknesses and track the resulting corrective actions. | | | | |
| FMS-TEST-048 | The Test Management Plan shall describe how services that execute on the Enterprise Service Bus (ESB) are unit, integration, and SIT tested. | | | | |
| FMS-TEST-049 | The Test Management Plan shall describe how message-oriented interactions is accomplished. | | | | |

# Testing Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-TEST-050 | Test Management Plan shall describe the Contractor's organizational structure and how the testing function is managed. | | | | |
| FMS-TEST-051 | The Test Management Plan shall describe the Contractor support that is assigned and provided to DMAS and Contractor staff for each testing phase. | | | | |
| FMS-TEST-052 | The Test Management Plan shall address the division of responsibilities between the Contractor, DMAS, and MES QA Contractor. | | | | |
| FMS-TEST-053 | The Test Management Plan shall describe how the Contractor maintains the test environments; including loading test data routinely used by the system to perform its automated processes (e.g., reference values such as system parameters, system lists, reference tables, edits, dispositions, and security tables). | | | | |
| FMS-TEST-054 | The Test Management Plan shall provide a testing methodology and approach on how the Contractor will test and verify conversion data and files. | | | | |
| FMS-TEST-055 | The Test Management Plan shall define how defects and other issues reported by DMAS are analyzed, tracked, resolved; how required system changes implemented; and how testing is integrated with other project phases. | | | | |
| FMS-TEST-056 | The Test Management Plan shall describe how the testing methodology accommodates workflow testing. | | | | |

# Testing Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-TEST-057 | The Test Management Plan shall provide a testing methodology and approach on how the Contractor tests and verifies Extensible Markup Language (XML). | | | | |
| FMS-TEST-058 | The Contractor shall develop comprehensive positive and negative test cases for all phases of testing. | | | | |
| FMS-TEST-059 | The Contractor shall have processes in place to routinely load production and other data into the ITF, at DMAS request, as necessary to perform its automated processes. | | | | |
| FMS-TEST-060 | The Contractor shall provide comprehensive documentation for requested test results for DMAS approval, prior to any software or COTS product being implemented in the production environment. | | | | |
| FMS-TEST-061 | The Contractor shall be responsible for scheduling and coordinating all testing activities to ensure that each test is prepared and performed in accordance with the test plan. | | | | |

# Change Management Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-CHG-MGT-001 | The Contractor shall provide a DDI Change Management Plan which meets the Project Management Institute's standards contained in the Project Management Body of Knowledge (PMBOK®), and addresses and defines processes for managing changes to the project requirements, deliverables, and other components. | | | | |
| FMS-CHG-MGT-002 | The Contractor shall provide an Operations Change Management Plan which meets the Project Management Institute's standards contained in the Project Management Body of Knowledge (PMBOK®), and addresses and defines processes for managing changes to any of the production environment components, including but not limited to software, hardware, data, and documentation. | | | | |
| FMS-CHG-MGT-003 | The Contractor shall provide the capability to support a change request methodology and system, including work flow with electronic signatures to track the requests/projects from initiation to closure, and support management of the requests. The Solution shall include storage of and linkage to all SDLC deliverables for each request/project. | | | | |

# Change Management Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-CHG-MGT-004 | The Contractor shall submit a proposed Impact Assessment Form with instructions to be used in the Change Management process that includes accounting for change in:<br>▪Scope<br>▪Schedule<br>▪Costs or Resources<br>▪Business Process Definition<br>▪Documentation<br>▪Performance Standards<br>▪Configuration<br>▪Risks | | | | |
| FMS-CHG-MGT-005 | The Contractor shall follow the best practices guidelines for Change Management as described in ISO/IEC 20000 [1 to 11] standards for Information Technology Service Management (ITSM), which is contained within the Information Technology Infrastructure Library (ITIL) framework.<br>Please refer to the ISO catalogue for more details:<br>http://www.iso.org/iso/home/store/catalogue_tc/catalogue_tc_browse.htm?commid=5013818 | | | | |

# IV&V and CMS Certification Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-IVV-001 | The Contractor shall provide the necessary information requested by the IV&V Contractor to assess the Contractor's Project Management capabilities to included, but not limited to:<br>▪Progress against budget and schedule<br>▪Risk management<br>▪Adherence to the software development lifecycle (SDLC)<br>▪Incorporation of the Seven Conditions and Standards into design and development<br>▪Reflection of the Department's MITA goals and plans into actual design and development<br>▪Configuration management is robust and includes State or developer configuration audits against configuration baseline<br>▪Change management<br>▪Adherence to service-level agreements<br>▪Project Work Plan comprehensiveness | | | | |

# IV&V and CMS Certification Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-IVV-002 | The Contractor shall provide the necessary information requested by the IV&V Contractor to assess the Contractor's System/Modular development capabilities including, but not limited to:<br>▪Completeness and reasonability of MES concept of operations, architecture, and designs<br>▪Accuracy of capture of interfaces and data sharing requirements with systems external to the MES<br>▪Viability and completeness of the data transition plan<br>▪Traceability of requirements through design, development, testing, and certification<br>▪Adequacy of system security and privacy policies, plans, technical designs, and implementations<br>▪Coverage and integrity of all system testing, including stress testing and testing of interfaces between modules and with external partner systems<br>▪Capacity management, including consideration of future Contractors' support and release plans for underlying databases, software, and hardware<br>▪Adequacy of disaster recovery planning | | | | |
| FMS-IVV-003 | The Contractor shall make available all systems related planning, design, development and implementation related activities, outputs, documentation, and test results in order to substantiate the solution meets related CMS certification checklist items as defined at the time of the review. | | | | |

# IV&V and CMS Certification Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-IVV-004 | The Contractor shall demonstrate the solution meets MITA 3.0 Framework guidelines regarding business, information, and technical requirements in addition to compliance with the Seven Conditions and Standards. | | | | |

# Audit Support Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-AUDIT-001 | The Contractor shall provide DMAS, at a minimum, an annual report from its external auditor on effectiveness of internal controls. If the report discloses deficiencies in internal controls, the Contractor shall include management's corrective action plans to remediate the deficiency. The report shall be compliant with the AICPA Statement on Standards for Attestation Engagements (SSAE) No. 16, Reporting on Controls at a Service Organization, Service Organization Controls (SOC) 2, Type 2 Report. | | | | |
| FMS-AUDIT-002 | The Contractor, and each of its third-party service providers which provide a service that may impact the financial or program operations of DMAS, shall provide the SSAE 16 SOC 2 reports for its respective entity. The SSAE 16 audit reports shall be provided to DMAS's Internal Audit Division annually, no later than 30 days after the report is issued to the Contractor. | | | | |
| FMS-AUDIT-003 | The Contractor shall provide DMAS, at a minimum, an annual report from a qualified, independent, external IT security Contractor for a Vulnerability Assessment and Network Penetration Test covering all Contractor and subcontractor networks that will access Commonwealth data and information. | | | | |

# Audit Support Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-AUDIT-004 | The Contractor shall provide the Department, at a minimum, a quarterly report of the results of its quarterly vulnerability scans covering all Contractor and subcontractor networks that will access Commonwealth data and information. | | | | |
| FMS-AUDIT-005 | The Contractor shall provide the Department, at a minimum, a biennial report from an independent, external auditor on the Contractor's compliance with the Commonwealth IT Information Security Standard SEC 501-09 (or latest). If the report discloses security deficiencies, the Contractor shall include management's corrective action plans to remediate the deficiency. The report shall be developed utilizing the requirements established in Commonwealth IT Information Security Standard (SEC 501-09 or latest) and Commonwealth IT Security Audit Standard (SEC 502-02.2 or latest). | | | | |
| FMS-AUDIT-006 | The Contractor and its subcontractors shall provide network connectivity for visitors from DMAS, Federal, and Commonwealth auditors, including the execution of outside audit tools and audit test software for guest auditors from the U.S. Department of Health and Human Services (HHS) Office of the Inspector General, the HHS CMS Commonwealth of Virginia Auditor of Public Accounts (APA) or any other authorized auditors as determined by DMAS. | | | | |

# Audit Support Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-AUDIT-007 | The Contractor shall produce robust audit trails and audit logs of all applications and engineering activities (including inquiry transactions) on the production systems. These audit logs will be kept available online, behind a front-end presentation toolset providing queries, reports, and analytics on any log selected. The system will be able to answer typical control questions required by COV SEC 501-09 and NIST 800-053 REV 4 (or latest) with online reporting. The DMAS Internal Audit Division and the Office of Compliance and Security shall provide the capability to access the audit logs directly without the Contractor's intervention. The logs shall be available to be reviewed by authorized Federal and COV auditors. Log retention shall be seven (7) years based on Library of Virginia standards. | | | | |
| FMS-AUDIT-008 | The Contractor shall establish policies, procedures, and practices to ensure there is appropriate internal monitoring of the audit logs and the established process produces documentation to evidence the monitoring effort. | | | | |

# Audit Support Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-AUDIT-009 | The Contractor shall provide DMAS, the U.S. Department of Health and Human Services (HHS) Office of the Inspector General, the HHS CMS, the Auditor of Public Accounts, and any other State and Federal auditors, or any of their duly authorized representatives with access to Contractor facilities for the purposes of audit, review, or physical inspection of system assets and system security, and access to any books, annual reports, management's report on internal control over financial reporting, SSAE No. 16 Service Organization Controls audit reports, fee schedules, documents, papers, and records of the Contractor and any of its subcontractors. Access to records includes any records which are stored offsite. Records shall be provided for review at no cost to the Department. | | | | |
| FMS-AUDIT-010 | The Contractor shall provide DMAS, the U.S. Department of Health and Human Services (HHS) Office of the Inspector General, the HHS CMS, State and Federal auditors, or any of their duly authorized representatives, access to inspect, copy, and audit contractor documents, including, medical and/or financial records of the Contractor and its subcontractors. | | | | |

# Audit Support Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-AUDIT-011 | The Contractor shall retain all records and reports relating to this Contract for a period of six years after final payment are made under this Contract or in the event that this Contract is renewed six years after the final payment. When an audit, litigation, or other action involving or requiring access to records is initiated prior to the end of said period, however, records shall be maintained for a period of six years following resolution of such action or longer if such action is still ongoing. Copies on microfilm or other appropriate media of the documents contemplated herein may be substituted for the originals provided that the microfilming or other duplicating procedures are reliable and are supported by an effective retrieval system which meets legal requirements to support litigation, and to be admissible into evidence in any court of law. | | | | |
| FMS-AUDIT-012 | The Contractor shall provide the Department with timely responses and corrective action plans (CAPs) for any audit or review findings, and shall ensure that any and all of its subcontractors also comply. In addition, the Contractor shall provide quarterly status updates for each CAP until the CAP is complete and the finding is remediated. | | | | |

# Audit Support Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-AUDIT-013 | The Contractor shall comply, and shall ensure any and all subcontractors comply with the following COV Information Security Standards (available on the VITA website), which among other requirements includes development and or performance of risk assessments, system security plans, disaster recovery plans, continuity of operations plans, and security audits: COV SEC 501-09 (or latest) IT Information Security Standard, COV SEC 502-02.2 (or latest) IT Security Audit Standard, COV SEC 514-03 (or latest) Removal of Commonwealth Data from Electronic Media Standard, COV SEC 520-00 (or latest) IT Risk Management Standard, COV SEC 525-01 Cloud-Based Information Security Standard (Pending its release in 2016). | | | | |
| FMS-AUDIT-014 | The Contractor shall not have the right to audit DMAS, or require that DMAS be audited. | | | | |
| FMS-AUDIT-015 | The Contractor shall provide Control Policy and Procedures required by the Agency to develop, disseminate, and review/update annually, formal documented procedures. The Contractor shall also provide a Security Roles-based Report that can be used as evidence to validate access control policy on an annual basis. (SEC501-09 Section 8.1.AC-1). | | | | |
| FMS-AUDIT-016 | The Contractor shall provide Control Policy and Procedures to disable unneeded accounts in a timely manner as well as historical records of such actions. (SEC 501.9 Section 8.1-AC-2-COV 1.b). | | | | |

# Audit Support Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-AUDIT-017 | The Contractor shall conduct and document a risk assessment of each IT system classified as sensitive at least once every three years. The risk analysis shall address all of the requirements in the Security Standard and include an analysis of encryption/decryption mechanisms pertaining to PHI data at rest or in transition. (SEC 501.9 Section 6.2). | | | | |
| FMS-AUDIT-018 | The Contractor shall maintain and document a system for Risk Management which is compliant with the COV IT Risk Management Standard (SEC 520-00 or latest) published by VITA. The intent of this requirement is to ensure the Contractor establishes a risk management framework, setting a baseline for information risk management activities for the Contractor. These risk management activities include, but are not limited to, any regulatory requirements that the Contractor is subject to, information security best practices, and the requirements defined in this Standard. These risk management activities will provide identification of sensitive system risks, their associated business impact, and a remediation/recommendation strategy that will help mitigate risks to the Contractor's information systems and data and the Commonwealth's information systems and data. The Risk Management Framework aligns with the methods set forth by the National Institute of Standards and Technology (NIST) Framework for Improving Critical Infrastructure Cybersecurity. | | | | |

# Audit Support Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-AUDIT-019 | The Contractor shall process a documented request with supervisory approval to establish an account on IT systems. In addition, the Contractor shall notify the Agency System Administrator in a timely manner about termination and/or transfer of employees and contractors with access rights to IT systems and data. (SEC501.9 Section 8.1.AC-2 COV 2). | | | | |
| FMS-AUDIT-020 | The Contractor shall provide and require encryption for the transmission of email and attached data that is sensitive relative to confidentiality. (SEC501.9 Section 8.16.SC-8-COV). | | | | |
| FMS-AUDIT-021 | The Contractor shall, annually, support the Agency and review of user accounts and privileges. (SEC501-09 Section 8.1.AC-2(j)). | | | | |
| FMS-AUDIT-022 | The Contractor shall support at least two Agency individuals to have administrative accounts to provide continuity of operations. (SEC501-09 Section 8.1.AC-2-COV 1 (h)). | | | | |
| FMS-AUDIT-023 | The Contractor shall provide evidence of document management practices for administering accounts. (SEC501 - 09 Section 8.1 AC-2-COV). | | | | |

# Turnover Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-TRNOVR-001 | The Contractor shall provide a Turnover Plan within 30 days of the Turnover Notification Letter. The plan shall include:<br>▪Data Turnover tasks<br>▪Custom interface Turnover tasks<br>▪Reusable code Turnover tasks<br>▪Documentation regarding files, interfaces, and work flows not considered to be part of the COTS proprietary documentation tasks<br>▪A timeline with milestones for the Turnover to include planning, execution, and implementation approval | | | | |
| FMS-TRNOVR-002 | The Contractor shall carry out an orderly, cooperative, comprehensive, and controlled transition to the Department. | | | | |
| FMS-TRNOVR-003 | The Contractor shall provide a security profile of Department users in a Microsoft Word document or Microsoft Excel spreadsheet format. | | | | |
| FMS-TRNOVR-004 | The Contractor shall provide Turnover deliverables as part of the Turnover tasks to include:<br>▪All files and data<br>▪Reusable code Turnover<br>▪Customized ad-hoc reporting specifications<br>▪Documentation regarding files, interfaces, and work flows not considered to be part of the COTS proprietary documentation<br>▪A timeline with milestones and a work breakdown structure for the Turnover to include planning, execution, and implementation approval<br>▪A description of post turnover support for up to 6 weeks | | | | |

# Seven Conditions and Standards Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-SCS-001 | The Contractor shall comply and consistently meet or exceed the CMS Seven Conditions and Standards over the life of the Contract. | | | | |
| FMS-SCS-002 | Modularity Standard - The Contractor shall demonstrate the use of a modular, flexible approach in its solution. This approach shall describe the modularity within its Solution including, but not limited to:<br>▪Use of a Systems Development Life Cycle Methodology (SDLC)<br>▪Identification of the modules within the solution and a description of the attributes that make them modular<br>▪Identification and description of open interfaces<br>▪Use of standardized business rule definitions and engines | | | | |
| FMS-SCS-003 | MITA Condition: The Contractor shall support the following if required:<br>▪Conducting MITA Self Assessments<br>▪Developing MITA Roadmaps<br>▪Developing Concept of Operations (COO) and Business Process Models (BPM) | | | | |

# Seven Conditions and Standards Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-SCS-004 | Industry Standard Condition - The Contractor shall ensure alignment with, and incorporation of, industry standards, including but not limited to: the Health Insurance Portability and Accountability Act of 1996 (HIPAA) security, privacy and transaction standards; accessibility standards established under section 508 of the Rehabilitation Act, or standards that provide greater accessibility for individuals with disabilities, and compliance with Federal Civil Rights laws; standards adopted by the Secretary under section 1104 of the Affordable Care Act; and standards and protocols adopted by the Secretary under section 1561 of the Affordable Care Act.<br>The Contractor shall describe and provide examples of how the solution provides the following capabilities:<br>▪Inclusion of industry standards<br>▪Incorporation of industry standards in requirements, development, and testing phases | | | | |
| FMS-SCS-005 | Leverage Condition - The Contractor shall work with DMAS to promote implementation of COTS packages or SaaS, and share, leverage, and identify possibilities for reuse of Medicaid technologies and systems within and among States, including but not limited to:<br>▪Multi-state efforts<br>▪Availability for reuse<br>▪Identification of open source, cloud-based, and commercial products<br>▪Customization<br>▪Transition and retirement plans | | | | |

# Seven Conditions and Standards Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-SCS-006 | Business Results Condition - The Contractor shall support accurate and timely processing of claims, assignment of member eligibility benefits, adjudications, and effective communications with providers, members, and the public. The Contractor shall provide examples of how its solution accomplishes this condition, including but not limited to:<br>▪Degree of automation<br>▪Web-based Customer Service<br>▪Performance standards and testing | | | | |
| FMS-SCS-007 | Reporting Condition - The Contractor's solution shall produce transaction data, reports, and performance information that contribute to program evaluation, continuous improvement in business operations, transparency, and accountability. The Contractor shall provide examples of meeting this requirement including, but not limited to:<br>▪Accurate data<br>▪Interfaces with designated federal repositories or hubs<br>▪Automatic generation of reports<br>▪Audit trails | | | | |

# Seven Conditions and Standards Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-SCS-008 | Interoperability Condition - The Contractor's solution shall provide seamless coordination and integration with appropriate exchanges including but not limited to HIE and HIX, and any run by the state or federal government, and allow interoperability with health information exchanges, public health agencies, human services programs, and community organizations providing outreach and enrollment assistance services. The Contractor shall describe and present examples of how the solution provides the following capabilities:<br>▪Interactions with exchanges<br>▪Interactions with other entities<br>▪Use standard messaging, protocols and architecture | | | | |

# Security/Compliance Audit Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-SSDR-SAD-001 | The Solution shall support encryption at rest for all relational database items. | | | | |
| FMS-SSDR-SAD-002 | The Solution shall require all relational database(s) to enforce Transport Layer Security (TLS 1.2 or above) for all incoming database connections. | | | | |
| FMS-SSDR-SAD-003 | The Solution require a minimum of 256 bit encryption (AES preferred). | | | | |
| FMS-SSDR-SAD-004 | The Solution utilized to encrypt the database shall include security that contains encryption keys to be a minimum of 2048 bits. | | | | |
| FMS-SSDR-SAD-005 | The Solution utilized to encrypt the database requires methods used by relational databases to be FIPS-140-2 certified or higher. | | | | |
| FMS-SSDR-SAD-006 | The Solution utilized to encrypt the database requires methods used by relational databases to be common criteria certified. | | | | |
| FMS-SSDR-SAD-007 | The Solution shall provide a Security Plan which will be in compliance with all Commonwealth and Federal enterprise information security policies, standards, security initiatives, and regulations. | | | | |
| FMS-SSDR-SAD-008 | The Contractor shall provide a security solution which complies with VITA Information Security Standard Regulation SEC 501-09 or latest (SEC501-09 is updated annually and is based on NIST 800-53 v.4). | | | | |

# Security/Compliance Audit Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-SSDR-SAD-009 | The Solution shall ensure that all data considered to be Protected Health Information (PHI) is secured while in transit and at rest (via encryption or an industry standard method of secure file transport). Data shall be stored in the continental United States. | | | | |
| FMS-SSDR-SAD-010 | The Contractor shall provide guest network connectivity from their offices and facilities while the Virginia contract is being performed, at the contractor's expense. This can be guest Wi-Fi or some other DMAS approved method. Requested guest accounts will be provisioned within twenty four hours. | | | | |
| FMS-SSDR-SAD-011 | The Solution Contractor shall collaborate and provide significant participation in support of the development and annual maintenance of the CMS System Security Plan (SSP). | | | | |
| FMS-SSDR-SAD-012 | The Solution shall provide the capacity to manage the creation of unique and permanent User ID's across multiple systems. | | | | |
| FMS-SSDR-SAD-013 | The Solution shall provide the capability for the provisioning of all MES accounts through the use of federated lists of tables. | | | | |
| FMS-SSDR-SAD-014 | The Solution shall have the functionality to allow for automated password resets using industry standard algorithms. | | | | |
| FMS-SSDR-SAD-015 | The Solution's password complexity shall require the use of all four of the following characteristics: Upper Case, Lower Case, Special Characters, and Numbers. | | | | |
| FMS-SSDR-SAD-016 | The Solution's passwords shall be a minimum of 12 characters in length and expire every 42 days. | | | | |

# Security/Compliance Audit Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-SSDR-SAD-017 | The Contractor shall ensure the Solution will integrate with a central ICAM/SSO using web services. | | | | |
| FMS-SSDR-SAD-018 | The Contractor shall ensure the Solution provides an authorization system and workflow for setting up user roles/access levels. | | | | |
| FMS-SSDR-SAD-019 | The Contractor shall provide coordination between role-based contractor solutions that include DMAS user roles and the central ICAM/SSO during implementation/setup of access control components. | | | | |
| FMS-SSDR-SAD-020 | The Contractor shall provide coordination between role-based contractor solutions which include DMAS roles and the central ICAM/SSO for external testing. | | | | |
| FMS-SSDR-SAD-021 | The Contractor shall provide coordination and support during the mapping of current roles (such as VAMMIS ACF2 roles) into applicable contractor solution roles for DMAS users. | | | | |
| FMS-SSDR-SAD-022 | The Contractor shall ensure the Solution provides role-based security and audit capabilities relative to the ICAM/SSO. | | | | |
| FMS-SSDR-SAD-023 | The Contractor shall ensure the user role/access level identifiers are continually in synch with the authorization system. | | | | |

# MES SSO Global Security Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-MES-SSO-GLBL-001 | The Contractor shall provide a detailed integration, implementation plan on how the solution shall integrate with a central SSO using its web services. | | | | |
| FMS-MES-SSO-GLBL-002 | The Contractor shall provide a detailed plan on the implementation of authorization system's workflow to set up user roles/access levels. | | | | |
| FMS-MES-SSO-GLBL-003 | The Contractor shall provide an authorization solution that shall support the MES SSO concept. | | | | |
| FMS-MES-SSO-GLBL-004 | The Contractor shall provide a coordination effort plan, detailing the efforts required between role-based contractor solutions that include DMAS user roles and the central SSO during implementation/setup of access control components. | | | | |
| FMS-MES-SSO-GLBL-005 | The Contractor shall provide an integration and implementation plan that requires coordination between role-based contractor solutions that include DMAS roles and the central SSO for external testing. | | | | |
| FMS-MES-SSO-GLBL-006 | The Contractor shall provide the coordination and support plans during the mapping of current roles (such as mainframe MMIS ACF2 roles) into applicable contractor solution roles for DMAS users. | | | | |
| FMS-MES-SSO-GLBL-007 | The Contractor shall implement a solution's role-based security and its audit capability relative to the SSO. | | | | |
| FMS-MES-SSO-GLBL-008 | The Contractor shall keep the user role/access level identifiers in synch with the authorization system. | | | | |

# Integration Services Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-IS-001 | The Contractor shall facilitate the secure exchange of data with other applications in the MES within the agreed upon SLA through synchronous real time web services and/or asynchronous services using Queues through an Integration service. | | | | |
| FMS-IS-002 | The Contractor shall have the ability to produce/consume SOAP, RESTful Web Services. | | | | |
| FMS-IS-003 | The Contractor shall have the ability to exchange files through secure file transfer protocol with other systems through an Integration service. | | | | |
| FMS-IS-004 | The Contractor shall conform to the responsibilities and expectations of an Integrated Supplier as described in the Managed Environment section in Exhibit H. | | | | |

# Rules Engine Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-RULE-EGN-001 | The Contractor's Rules Engine shall meet MITA 3.0 standards by using COTS Business Rules Engine products using BPMN and BPEL methodologies. | | | | |
| FMS-RULE-EGN-002 | The Contractor's Rules Engine shall allow integration with Identity Access Management products for several elevated user levels for business rules approvals. | | | | |
| FMS-RULE-EGN-003 | The Contractor’s provided workflow shall automate details for any rules creation/modification/deletion and scheduled auto deployment shall be explained. | | | | |
| FMS-RULE-EGN-004 | The Contractor's Rules Engine shall provide a testing environment with dashboard drill downs using past production data to show how functionality/end result will change by the rule changes. This can be displayed in the dashboard by a graphical and columnar view for easy impact assessment by the business user. | | | | |
| FMS-RULE-EGN-005 | The Contractor shall provide a Rules Engine Business Dictionary which includes data elements, definition, data size, meaning, description and its usage. | | | | |
| FMS-RULE-EGN-006 | The Contractor's Rules Engine shall allow changes to be made to the valid values without bringing down the rules engine. | | | | |
| FMS-RULE-EGN-007 | The Contractor's Rules Engine shall have tracking mechanisms to identify which rules are executed for the particular transactions. | | | | |
| FMS-RULE-EGN-008 | The Contractor's Rules Engine shall be able to produce a report on rules passed or failed for all transactions. | | | | |
| FMS-RULE-EGN-009 | The Contractor's Rules Engine shall send alerts to the appropriate resource if there is any issue in the rules engine. | | | | |

# Rules Engine Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-RULE-EGN-010 | The Contractor's Rules Engine shall allow logging to be turned ON or OFF. | | | | |
| FMS-RULE-EGN-011 | The Contractor's Rules Engine shall provide a debugging tool to debug the rules execution. | | | | |
| FMS-RULE-EGN-012 | The Contractor's Rules Engine shall allow rules to run sequentially and in parallel. | | | | |
| FMS-RULE-EGN-013 | The Contractor's Rules Engine shall allow Individual rules testing features available. | | | | |
| FMS-RULE-EGN-014 | The Contractor's Rules Engine shall include test data creation tools. | | | | |
| FMS-RULE-EGN-015 | The Contractor's Rules Engine shall allow users to map JSON or XML documents as input data elements. | | | | |
| FMS-RULE-EGN-016 | The Contractor's Rules Engine shall be easily accessed through Java or web services. | | | | |
| FMS-RULE-EGN-017 | The Contractor's Rules Engine shall process high volume transactions and shall be scalable. | | | | |
| FMS-RULE-EGN-018 | The Contractor's Rules Engine shall be able to support NoSQL or MongoDB. | | | | |
| FMS-RULE-EGN-019 | Rules Editor shall allow the subject matter experts or technical resource to write the rules in the natural language. | | | | |
| FMS-RULE-EGN-020 | The Contractor shall supply a dashboard to monitor the rules execution and its performance and statistics. | | | | |
| FMS-RULE-EGN-021 | The Contractor's Rules administration process shall control user access, modify and execute the rules. | | | | |

# Workflow Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-WF-001 | The Contractor's workflow management tool shall support the intelligent assignment, queueing, notification, escalation and management of requests, interactions and relationships with providers, members, and other stakeholders. | | | | |
| FMS-WF-002 | The Contractor's workflow management tool shall be easily configurable. | | | | |
| FMS-WF-003 | The Contractor's workflow management tool shall support notifications and alerts using a variety of access channels that can be managed by authorized users. | | | | |
| FMS-WF-004 | The Contractor's workflow management tool shall have the capability to schedule the execution of tasks. | | | | |
| FMS-WF-005 | The Contractor's workflow management tool shall be able to track and monitor the progress of the execution of the workflows. | | | | |
| FMS-WF-006 | The Contractor's workflow management tool shall have the ability to prioritize the tasks based on the severity. | | | | |
| FMS-WF-007 | The Contractor's workflow management tool shall be fault tolerant. | | | | |
| FMS-WF-008 | The Contractor's workflow management tool shall provide ability to view the workflow execution history. | | | | |
| FMS-WF-009 | The Contractor's workflow management tool shall have user defined reporting capabilities to assist in managing caseloads, workflow processes, and quality assurance. | | | | |

# Document Management Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-DOC-001 | The Contractor shall capture all the incoming and outgoing documents in the repository with a unique ID, date, and timestamp. | | | | |
| FMS-DOC-002 | The Contractor shall include electronic documentation context sensitive help screens for all online functions (desktop and browser). | | | | |
| FMS-DOC-003 | The Documentation Management system shall provide full functionality for a robust Documentation Management system solution, including but not limited to:<br>▪Web-based access<br>▪Document storage<br>▪Category meta-tagging<br>▪Collaborative editing with version controls<br>▪Workflow with automated notifications<br>▪Integrate and interface with common desktop productivity software<br>▪The ability to search among documents<br>▪The ability to enter notes or annotate documents | | | | |
| FMS-DOC-004 | The Documentation Management system shall store all generated outputs, including but not limited to reports and letters. | | | | |
| FMS-DOC-005 | The Documentation Management system shall store all MES documentation, including but not limited to designs, manuals, and training materials. | | | | |
| FMS-DOC-006 | The Documentation Management system shall store all documents transmitted by internal and external sources, including but not limited to reports generated by other systems, faxes, and uploaded materials. | | | | |

# Document Management Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-DOC-007 | The Documentation Management system shall store images of all hard-copy documents received including but not limited to paper claims, provider enrollment applications, service authorization requests, attachments, including attachments to claims, and correspondence. | | | | |
| FMS-DOC-008 | The Documentation Management system shall support the ability to retrieve and view all information stored, based on a variety of identifying information, including but not limited to report number, provider ID, letter ID, run date, as of date, payment date, RA number, check number, claim control number, and letter date. | | | | |
| FMS-DOC-009 | The Documentation Management system shall provide the ability to search within documents. | | | | |
| FMS-DOC-010 | The Documentation Management system shall provide the ability for users and applications to retrieve a document using a web-based application. | | | | |
| FMS-DOC-011 | The Documentation Management system shall provide the ability to print and download any document in total or part as defined by the user. | | | | |
| FMS-DOC-012 | The Documentation Management system shall manage access based on security rules defined for both internal and external users and systems. | | | | |

# Document Management Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-DOC-013 | The Documentation Management system shall maintain an audit trail of all actions related to ECM content, including but not limited to:<br>▪Date and time document is entered in the System<br>▪Any actions taken on the document or attachment; including the date and time of the edits/modification<br>▪Record the user responsible for the changes<br>▪Record all user inquiries even if no action was taken by the user | | | | |
| FMS-DOC-014 | Audit trail reports shall be available on demand, both an aggregated report of all actions by type (inquiry, add, change, etc.) and by an individual user ID. | | | | |
| FMS-DOC-015 | The Documentation Management system shall provide a scalable environment with a separate testing/staging environment. | | | | |
| FMS-DOC-016 | The Documentation Management system shall convert and store the contents of the legacy ECM. | | | | |
| FMS-DOC-017 | The Documentation Management system shall support data retention and deletion in accordance with Department record retention policies. | | | | |
| FMS-DOC-018 | The Documentation Management system shall install and manage application-specific malware protection. | | | | |
| FMS-DOC-019 | The Documentation Management system shall deploy customizations (e.g., web parts and solutions) supplied by an Authorized User using server tools. | | | | |
| FMS-DOC-020 | The Documentation Management system shall provide all enterprise-level infrastructure hardware and software licensing required to support the services. | | | | |

# Document Management Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-DOC-021 | The Documentation Management system shall continually evolve to stay contemporary with best of breed market offerings. | | | | |
| FMS-DOC-022 | The Contractor shall provide electronic documentation management capability that promotes automatic updates to the documentation when content, technical, and operational changes occur. | | | | |
| FMS-DOC-023 | The Contractor shall provide an electronic document management capability to link, track, and update all electronic documentation, technical and operational, when affected by a subsystem or component or business practice and rules requirement change. | | | | |
| FMS-DOC-024 | The Contractor shall provide the methodology to work with the Department to finalize the service level criteria for the following:<br>▪Distinguishing the priority and severity of a problem<br>▪Determining the category of the problem<br>▪Establishing the nature of the problem | | | | |
| FMS-DOC-025 | The Contractor shall present instructions for requesting reports or other outputs with examples of input documents and replicas of screens (desktop and browser). | | | | |
| FMS-DOC-026 | The Contractor shall provide the ability to accommodate electronic signatures. | | | | |
| FMS-DOC-027 | The Contractor shall provide artifacts, including but not limited to reports, letters, documents, and documentation, for an Enterprise Content Management (ECM) system. | | | | |

# Portal Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-TECH-WEB-001 | All Contractor websites shall comply with section 508 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794d) and meet the standards published in the Federal Register on December 21, 2000 (36 CFR Part 1194). | | | | |
| FMS-TECH-WEB-002 | All Contractor website components used to publish or create content or user accessible interfaces shall comply with the Authoring Tool Accessibility Guidelines (ATAG) 2.0 as published by the Worldwide Web Consortium (W3C). | | | | |
| FMS-TECH-WEB-003 | All Contractor website components or content accessed via a Web Browser shall comply with the Commonwealth of Virginia web standards as published at: http://www.vita.virginia.gov/library/default.aspx?id=663 | | | | |
| FMS-TECH-WEB-004 | The Contractor's online help shall be available and provide current and accurate information. Online Help shall be content sensitive to the extent possible. The format and structure of online help shall be approved by DMAS. | | | | |
| FMS-TECH-WEB-005 | All Contractor website components or content accessed via a Web Browser shall meet the W3C Web Content Accessibility Guidelines (WCAG) V2.0. | | | | |
| FMS-TECH-WEB-006 | All Contractor websites shall support human-readable URLs which are usable as navigational aids to end users. | | | | |
| FMS-TECH-WEB-007 | All Contractor websites shall be accessible using common major web browsers like, but not limited to Chrome, Firefox, IE, Edge, and Opera and shall be compatible with previous versions approved by DMAS. | | | | |
| FMS-TECH-WEB-008 | All Contractor websites shall be accessible using, but not limited to mobile devices, tablets and PC's. | | | | |

# Portal Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-TECH-WEB-009 | All Contractor's solution components or content accessed via a Web Browser shall comply with the W3C Mobile Web Application Best Practices as published on December 14, 2010. | | | | |
| FMS-TECH-WEB-010 | All Contractor websites shall support English, Spanish, and any other language that is used by 5% or more of the population. | | | | |
| FMS-TECH-WEB-011 | All Contractor website components or content accessed via a Web Browser shall display a dismissible alert when being accessed by a browser type or browser version that is not fully supported. | | | | |
| FMS-TECH-WEB-012 | All Contractor website components or content accessed via a Web Browser shall not use, nor have any dependencies on Active-X controls, Flash, Frames or iframes. | | | | |
| FMS-TECH-WEB-013 | For supported browsers, all Contractor websites shall print what the users see. The Solution shall provide options to print or download HTML and PDF documents. | | | | |
| FMS-TECH-WEB-014 | All Contractor websites shall include a knowledge based component and frequently asked questions. | | | | |
| FMS-TECH-WEB-015 | The Contractor shall ensure all browser run scripts load from website servers, unless approved otherwise by DMAS. | | | | |
| FMS-TECH-WEB-016 | The Contractor shall ensure all browser run scripts are verified only to communicate with websites, unless approved otherwise by DMAS. | | | | |
| FMS-TECH-WEB-017 | The Contractor shall ensure all browser run scripts use minified version in production. | | | | |

# Portal Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-TECH-WEB-018 | The Contractor shall ensure all websites are developed using current technologies including Angular JS, JavaScript, JQuery, and Bootstrap. | | | | |
| FMS-TECH-WEB-019 | The Contractor shall ensure all websites disallow multiple concurrent logins by an individual user or by a single user ID. | | | | |
| FMS-TECH-WEB-020 | The Contractor shall ensure all platforms supporting or hosting browser accessible components or content shall be scanned for known vulnerabilities no less frequently than once a month. Scan results shall be sent to DMAS Security Officer. | | | | |
| FMS-TECH-WEB-021 | The Contractor's websites shall be scalable to support growth in the number of Medicaid providers, members and for future growth of Medicaid program. | | | | |
| FMS-TECH-WEB-022 | The Contractor shall ensure users attempting to access a solution component or content that is unavailable due to scheduled maintenance shall receive a response notifying them of the reason for non-availability and an expected service resumption time. | | | | |
| FMS-TECH-WEB-023 | The Contractor shall ensure all website users are notified of any scheduled maintenance on the website's main page. | | | | |

# Portal Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-TECH-WEB-024 | THe Contractor's websites shall adhere to the "Government Data Collection and Dissemination Practices Act" Code of Virginia, § 2.2-3800, "Administration of systems including personal information; Internet privacy policy; exceptions" Code of Virginia, § 2.2-3803, the "Virginia Freedom of Information Act" § 2.2-3700, et seq., and HIPAA regulations (Health Insurance Portability and Accountability Act (1996) (HIPAA). | | | | |
| FMS-TECH-WEB-025 | The Contractor shall ensure all solution components that are accessible from the Public Internet (e.g. websites) shall make the site's privacy policy and terms of service available prior to authentication. | | | | |
| FMS-TECH-WEB-026 | The Contractor shall ensure cookie dependencies for Solution components or content accessed via a web browser is limited to session cookies. | | | | |
| FMS-TECH-WEB-027 | The Contractor shall ensure any cookies generated, used, or required by the solution do not contain user identifiable data. | | | | |
| FMS-TECH-WEB-028 | The Contractor shall ensure users attempting to access a solution component or content that has a dependency on cookies with a browser that has cookies disabled shall receive a response notifying them of features, modules, or services that may not be available. | | | | |
| FMS-TECH-WEB-029 | The Contractor shall ensure website form fields are validated on the client side as well as on server side. | | | | |
| FMS-TECH-WEB-030 | The Contractor shall ensure fields have standard formats such as phone numbers, date, time, currency, numbers, SSN use input mask to aid users. | | | | |

# Portal Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-TECH-WEB-031 | The Contractor shall ensure users do not see technical implementation details in error messages on production system, e.g. 500 errors shall display a message such as "we are experiencing technical problems, please check back soon" with a link back to home page or the page they came from. | | | | |
| FMS-TECH-WEB-032 | The Contractor shall ensure the website provides the ability to upload multiple files and show end users the progress of the upload using, but not limited to JQUERY or Angular file upload plugin. | | | | |
| FMS-TECH-WEB-033 | The Contractor shall ensure the website can validate and scan for potential malware and viruses before uploading files to the secured area. | | | | |
| FMS-TECH-WEB-034 | The Contractor shall ensure the website provides the ability for users to save data in heavily used forms as user specific templates for future submission (site specific). | | | | |
| FMS-TECH-WEB-035 | The Contractor shall ensure the website provides the ability for users to clone previously entered forms that are Department selected and approved (site specific). | | | | |
| FMS-TECH-WEB-036 | The Contractor shall ensure the website provides links for context sensitive referenced materials, e.g. materials from manuals, price lists, referenced materials (site specific). | | | | |

# Electronic Data Interchange Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-EDI-001 | For real-time submission, the Contractor shall ensure that the Unique ID that is assigned in the DMAS EDI Gateway will be tied to its backend process. | | | | |
| FMS-EDI-002 | For batch submissions, the Contractor shall ensure that the Unique File ID assigned in the DMAS EDI Gateway will be tied to its backend process. | | | | |
| FMS-EDI-003 | When connecting with the DMAS EDI Gateway, the Contractor shall ensure authorization and authentication is performed through the Commonwealth specified single sign-on system. | | | | |
| FMS-EDI-004 | The Contractor solution shall support all current and future applicable EDI standards, including but not limited to HIPAA transactions, versions, and code sets and all phases of CAQH/CORE operating rules. | | | | |
| FMS-EDI-005 | The Contractor shall ensure that data to support a HIPAA standard response is provided, including but not limited to the TA1, 999, 820, and 835. | | | | |
| FMS-EDI-006 | The Contractor shall ensure all incoming and outgoing transaction data is logged and archived to support auditing, reporting, and other business needs. | | | | |
| FMS-EDI-007 | The Contractor shall provide archived data in response to a DMAS request in a timeframe to be determined based on the age of the data. | | | | |
| FMS-EDI-008 | The Contractor shall provide an automatic response when it is unable to process a real-time or batch transaction from the DMAS EDI Gateway. | | | | |

# Electronic Data Interchange Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-EDI-009 | The Contractor shall ensure that all submitted transaction information metrics, including but not limited to (submitted timestamp, transaction size, user, IP, and port) are stored and accessible for problem resolution, reporting SLAs, and other business needs. | | | | |
| FMS-EDI-010 | For real-time submission, the Contractor shall ensure unique UUID is assigned, and the ID is tied to the backend process. | | | | |
| FMS-EDI-011 | The Contractor shall ensure an alert is sent to the appropriate technical team regarding the system status. | | | | |
| FMS-EDI-012 | The Contractor shall ensure SLA reports are generated and include information such as amount of time it took to process the file, file rejection rate, and file acceptance rate. | | | | |
| FMS-EDI-013 | The Contractor shall ensure all the submitted file information is kept in the database for easy access (file submitted timestamp, file size, user, and so on). | | | | |
| FMS-EDI-014 | The Solution shall validate that a provider has identified a relationship with the service center and transaction ID as part of processing an EDI transaction. | | | | |

# Enterprise Data Warehouse Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-GNRL-001 | All Contractors and their partners, with no exceptions, shall have to accommodate sharing of enterprise relationship diagram of their system, data dictionaries, and business and technical metadata with DMAS. | | | | |
| FMS-GNRL-002 | The Contractors shall provide resources and services that provide access to their transactional data both in real-time and batch. | | | | |
| FMS-GNRL-003 | The Contractors shall provide functions to translate their data into XML, JSON, SOAP, etc., for exchange as required by DMAS. | | | | |
| FMS-GNRL-004 | The Contractors shall adhere to the frequency of data-exchange as desired by DMAS. | | | | |
| FMS-GNRL-005 | Each Contractor shall assure data quality pertaining to the benchmarks set forth by DMAS. | | | | |
| FMS-GNRL-006 | Any and all products generated by the Contractor during the course of the MES and pertaining to the MES shall be shared with DMAS. | | | | |

# Conversion Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-DATA-CON-001 | The Contractor shall develop a Conversion Plan to successfully meet DMAS business and technical specifications for deployment. | | | | |
| FMS-DATA-CON-002 | The Conversion Plan shall include a description of the overall conversion strategy. | | | | |
| FMS-DATA-CON-003 | The Conversion Plan shall include a detailed conversion schedule. | | | | |
| FMS-DATA-CON-004 | The Conversion Plan shall include an outline of roles and responsibilities. | | | | |
| FMS-DATA-CON-005 | The Conversion Plan shall include pre-defined and mutually agreed upon success criteria and acceptable thresholds. | | | | |
| FMS-DATA-CON-006 | The Conversion Plan shall include a description of all tools to be used during the conversion process. | | | | |
| FMS-DATA-CON-007 | The Conversion Plan shall include methods for user validation of converted data. | | | | |
| FMS-DATA-CON-008 | The Conversion Plan shall include procedures for tracking and correcting conversion problems when encountered. | | | | |
| FMS-DATA-CON-009 | The Conversion Plan shall include a process to identify and mitigate risks that may be encountered during conversion. | | | | |
| FMS-DATA-CON-010 | The Conversion Plan shall include the target data store schemas. | | | | |
| FMS-DATA-CON-011 | The Conversion Plan shall include detailed data element mappings, including values of the old systems data elements to the new systems data elements, new data elements to old data elements, and default values where necessary. | | | | |

# Conversion Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-DATA-CON-012 | The Conversion Plan shall include specifications for manually converting unreliable data elements that cannot be converted. | | | | |
| FMS-DATA-CON-013 | The Conversion Plan shall include referential integrity relationships for related data. | | | | |
| FMS-DATA-CON-014 | The Conversion Plan shall define the reporting of processing statistics that include, but are not limited to, load execution time and duration. | | | | |
| FMS-DATA-CON-015 | The Conversion Plan shall define the reporting of failures, error conditions, and unexpected terminations. | | | | |
| FMS-DATA-CON-016 | The Conversion Plan shall include a definition of the metrics that will be generated by the conversion process to measure the completeness of conversion. These metrics shall include record counts and balancing for each major grouping of data elements from both the legacy source systems (e.g., number of members, cases, claims, and claims paid). | | | | |
| FMS-DATA-CON-017 | The Conversion Plan shall include layouts, procedures, and schedules for all conversion reporting. | | | | |
| FMS-DATA-CON-018 | The Conversion Plan shall include transformation and loading for each data source. | | | | |
| FMS-DATA-CON-019 | The Conversion Plan shall include a strategy for data quality assurance and control. | | | | |
| FMS-DATA-CON-020 | The Conversion Plan shall include an inventory and cross-reference of:<br>Source and target data elements, schema, and metadata. | | | | |
| FMS-DATA-CON-021 | The Conversion Plan shall include a process for data extraction. | | | | |

# Conversion Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-DATA-CON-022 | The Conversion Plan shall describe all preparatory and/or initiation processes that shall be completed prior to conversion. | | | | |
| FMS-DATA-CON-023 | The Conversion Plan shall identify if the conversion process will be implemented in phases or stages, and which components will undergo conversion in each phase. | | | | |
| FMS-DATA-CON-024 | The Conversion Plan shall describe the process for converting reports and imaged documents. | | | | |
| FMS-DATA-CON-025 | The Conversion Plan shall identify what data related to specific business processes will be converted first. | | | | |
| FMS-DATA-CON-026 | The Conversion Plan shall identify and describe any part of the conversion process that will be performed manually. | | | | |
| FMS-DATA-CON-027 | The Conversion Plan shall identify and describe any custom-developed conversion programs that will be needed and their associated performance tuning. | | | | |
| FMS-DATA-CON-028 | The Conversion Plan shall describe all conversion reporting, control, and balancing outputs. | | | | |
| FMS-DATA-CON-029 | The Conversion Plan shall define the metrics that will be generated by the conversion process to measure the completeness of conversion. | | | | |
| FMS-DATA-CON-030 | The Conversion Plan shall identify criteria for a Go/No-Go decision. | | | | |
| FMS-DATA-CON-031 | The Conversion Plan shall identify a staffing approach. | | | | |
| FMS-DATA-CON-032 | The Conversion Plan shall identify if parallel runs of the old and new systems will be necessary during the conversion process, or if there will be a one-time cut-over to the new system. | | | | |

# Conversion Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-DATA-CON-033 | The Conversion Plan shall identify whether data availability and use shall be limited during the conversion process. | | | | |
| FMS-DATA-CON-034 | The Conversion Plan shall describe security and privacy controls required for the conversion process. | | | | |
| FMS-DATA-CON-035 | The Conversion Plan shall describe the disposition of obsolete or unused data that is not converted. | | | | |
| FMS-DATA-CON-036 | The Conversion Plan shall identify a retention policy for the non-converted data in case of fallback with a need to rerun the conversion process. | | | | |
| FMS-DATA-CON-037 | The Contractor shall submit the Conversion Plan for DMAS review and approval. | | | | |
| FMS-DATA-CON-038 | The Contractor shall provide a walk-through of the Conversion Plan before submitting to DMAS for approval. | | | | |
| FMS-DATA-CON-039 | The Contractor shall document any revised procedures in the Conversion Plan. | | | | |
| FMS-DATA-CON-040 | The Contractor shall execute the approved Conversion Plan according to the project schedule. | | | | |
| FMS-DATA-CON-041 | The Contractor shall convert all historical and transactional data stores that are needed by and applicable to the solution. | | | | |
| FMS-DATA-CON-042 | The Contractor shall convert all images and other document types that are needed by and applicable to the solution. | | | | |
| FMS-DATA-CON-043 | The Contractor shall store and manage specified historical data covering a specified time. | | | | |
| FMS-DATA-CON-044 | The Contractor shall provide hardware, software, and data support for the Department during all phases of conversion. | | | | |

# Conversion Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-DATA-CON-045 | The Contractor shall supply appropriate environments for developing and testing conversion processes. | | | | |
| FMS-DATA-CON-046 | The Contractor shall provide the capability for storing all conversion-related artifacts in an easily retrievable format for access by DMAS for the life of the contract. | | | | |
| FMS-DATA-CON-047 | The Contractor shall ensure all data is protected with access restricted to authorized personnel. | | | | |
| FMS-DATA-CON-048 | The Contractor shall provide the converted data to other DMAS users and/or contractors as required for its processing needs as identified by the Commonwealth. | | | | |
| FMS-DATA-CON-049 | The Contractor shall present a conversion walk-through with Department users, displaying resulting output data in screens of the new MES. | | | | |
| FMS-DATA-CON-050 | The Contractor shall submit all conversion reports as defined in the Conversion Plan to the Agency for review and approval. | | | | |
| FMS-DATA-CON-051 | The Contractor, under DMAS guidance, shall be responsible for identifying and obtaining any data that is required for its solution but not present in VAMMIS. | | | | |

# Financial Accounting and Reporting System Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-AS-001 | The Solution shall provide an integrated Financial Accounting and Reporting solution that leverages best practices, meets financial and statutory requirements and is compliant with Generally Accepted Accounting Principles (GAAP). | | | | |

# Financial Accounting and Reporting System Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-AS-002 | The Solution's financial accounting and reporting functions shall support the functionality needed by DMAS, including but not limited to:<br>▪General Ledger and Budget<br>▪Compatible with generally accepted accounting principles for governmental proprietary funds<br>▪Multiple fund accounting<br>▪Multi-year project tracking<br>▪Comprehensive audit trail (customer/vendor, check number, invoice, PO, etc.)<br>▪Multiple budgets per year (original, adjusted)<br>▪Maintain budget history for prior years<br>▪Financial Reporting<br>▪End-user customizable reporting package<br>▪Ability to export data to Excel<br>▪Accounts Receivable<br>▪Cash receipt subsidiary ledger with tracking by customer<br>▪Generate recurring billing<br>▪Generate miscellaneous billing<br>▪Generate credit memos/void invoices<br>▪Accounts Payable<br>▪Purchase orders with workflow approval<br>▪Process vendor payments by check or electronic payment<br>▪Multiple invoices per single payment<br>▪Payment from multiple funds per a single payment<br>▪Positive pay reporting<br>▪1099 tracking, reporting, and printing or electronic submission<br>▪Electronic signature authorization for check printing<br>▪Security<br>▪Assign individual users specific rights within the system for effective segregation of duties<br>▪Reconciliation of pooled operating checking accounts across multiple funds<br>▪Fixed asset tracking<br>▪Subsidiary ledger for tracking customer deposits<br>▪Storage/imaging of supporting documentation for financial transaction<br>▪Ability to design and produce flexible form | | | | |

# General Ledger Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-GL-001 | The Contractor shall provide a solution that addresses the General Ledger business processes to be included in the Financial Management system, supports the MITA 3.0 Framework at a MITA capability level of 3 or higher, and includes the following capabilities:<br>▪Provide standard reports that supply the information needed to operate, control, manage and monitor the General Ledger business processes<br>▪Provide for the additional reports defined by DMAS to meet customization of reports included in the solution and additional reports defined by DMAS to meet critical DMAS business needs related to General Ledger<br>▪Provide the capability for DMAS users to produce ad hoc reports based on the data processed and generated by the General Ledger processing<br>▪Provide configurable automated work flow support for General Ledger processing<br>▪Provide a configurable automated rules engine to support the General Ledger processing<br>▪Log all on-line and batch General Ledger processing transactions, including user ID, the date and time of the transactions and all activity on each record<br>▪Provide the capability for DMAS users to view online, user-friendly images of General Ledger audit trails based on flexible search criteria<br>▪Publish all General Ledger data needed for interfaces, including but not limited to Cardinal, the data warehouse, and other systems | | | | |

# General Ledger Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-GL-002 | The Solution shall support a General Ledger accounting structure that is account based and includes all accounts and account coding for mapping to the Cardinal Chart of Accounts in the Commonwealth of Virginia's Cardinal Financial System. This includes accounts representing Budget and Actual balances as well as Cash basis and Accrual basis balances. | | | | |
| FMS-GL-003 | The Solution shall provide the capability for all transactions processed in subsidiary ledgers/modules of the Financial Management system (i.e. Accounts Payable, Accounts Receivable, etc.) to flow to the general ledger for posting. | | | | |
| FMS-GL-004 | The Solution shall provide the capability to process and post journal entries originating within the general ledger to correct and re-distribute previous transactions as well as record new items, including transactions originating in systems outside the Financial Management system. | | | | |
| FMS-GL-005 | The Solution shall provide the capability for the general ledger to serve as the control of accounting periods and to have open/close function for fiscal month and fiscal year. | | | | |

# General Ledger Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-GL-006 | The Solution shall provide the capability for the general ledger to produce a trial balance of all account balances by accounting period including month to date and year to date. This includes the functionality to set parameters to produce a trial balance based on any combinations of account coding and accounting period. | | | | |
| FMS-GL-007 | The Solution shall provide the capability for DMAS users to update and view the general ledger assignment rules based on Program Code, Claim type, provider Type and additional criteria required by the Department. | | | | |
| FMS-GL-008 | The Solution shall provide a general ledger system complete with a chart of accounts to capture all payables activity in order to meet state and federal accounting and reporting requirements. | | | | |

# Accounts Receivable Management Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-AR-001 | The Contractor shall provide a solution that addresses the Accounts Receivable Management business processes to be included in the Financial Management system, supports the MITA 3.0 Framework at a MITA capability level of 3 or higher, and includes the following capabilities:<br>▪Provide standard reports that supply the information needed to operate, control, manage and monitor the Accounts Receivable Management business processes, including but not limited to required State and federal reporting<br>▪Provide for the customization of reports included in the solution and additional reports defined by DMAS to meet critical DMAS business needs related to Accounts Receivable Management<br>▪Provide the capability for DMAS users to produce ad hoc reports based on the data processed and generated by the Accounts Receivable Management processing<br>▪Provide configurable automated work flow support for Accounts Receivable Management processing<br>▪Provide a configurable automated rules engine to support the Accounts Receivable Management processing<br>▪Log all on-line and batch Accounts Receivable Management processing transactions, including user ID, the date and time of the transactions and all activity on each record<br>▪Provide the capability for DMAS users to view online, user-friendly images of Accounts Receivable Management audit trails based on flexible search criteria<br>▪Publish all Accounts Receivable Management data needed for interfaces, including but not limited to Cardinal, the data warehouse, and other systems | | | | |

# Accounts Receivable Management Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-AR-002 | The Solution shall provide all data required to support recoupments and repayment agreements, including but not limited to:<br>▪Provider information including NPI and Tax ID<br>▪Recoupment amount<br>▪Recoupment payment schedule or percentage<br>▪Reason for recoupment (e.g., court orders, tax liens, audits, negative retroactive rate adjustments, negative claim balances)<br>▪Payment history (e.g., audit trail of payment source, amount, and date)<br>▪Current recoupment balance due<br>▪Recoupment balance paid<br>▪Repayment information including principal and interest monthly or weekly payments, interest rate, term, applicable object code related to services provided, recoupment through date, associated receivable invoice number, program benefit code, comments fields, other information as required | | | | |
| FMS-AR-003 | The Solution shall provide the capability to enter and update a financial transaction that includes all the information required to create, manage and close a receivable. | | | | |
| FMS-AR-004 | The Solution shall provide the capability to withhold payments in cases of fraud or willful misrepresentation and support refunding of federal share of provider overpayments. | | | | |
| FMS-AR-005 | The Solution shall provide the ability to recoup payment from provider claims processed for monies owed to the agency. | | | | |

# Accounts Receivable Management Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-AR-006 | The Solution shall provide the capability to house future repayment transactions and automatically set up the related negative balance (recoupment) transaction during the next remittance cycle for transactions with a due date that occurs during the period of the remittance cycle for the monthly or weekly recoupment. | | | | |
| FMS-AR-007 | The Solution shall provide the capability to automatically post monies recouped to the principal and interest lines of the receivable invoice. | | | | |
| FMS-AR-008 | The Solution shall alert DMAS administration when significant change occurs in daily, weekly, or other time period payments. | | | | |
| FMS-AR-009 | The Solution shall provide the capability for DMAS to manage accounts receivable and collection activities in a database that houses all receivable transactions, including but not limited to the ability to pull the details of this data into an excel spreadsheet for reporting purposes and detailed analysis as needed. | | | | |
| FMS-AR-010 | The Solution shall provide the capability to establish accounts receivable balances at the customer level, including Tax ID, payer, Entity, and Provider level. | | | | |
| FMS-AR-011 | Receivable transactions shall conform to Generally Accepted Accounting Principles (GAAP) and to Virginia and federal policy, law, and regulation. | | | | |
| FMS-AR-012 | Receivable transactions shall interface with the General Ledger of the Financial Accounting System. | | | | |

# Accounts Receivable Management Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-AR-013 | The Solution shall provide the capability to maintain Accounts Receivables information, including but not limited to the handling of and accounting for liens, recoupments and emergency provider payments by offsetting payments generated from processed claims. | | | | |
| FMS-AR-014 | The Solution shall provide the capability to maintain garnishments and tax levies and assignment information to be used in directing or splitting payments to the provider and garnish or using approved claims. | | | | |
| FMS-AR-015 | The Solution shall provide the capability to withhold the Federal share of payments to Medicaid providers to recover Medicare overpayments. | | | | |
| FMS-AR-016 | The Solution shall provide the capability to identify providers with accounts receivable balances and no claim activity by program during a DMAS-specified number of months. | | | | |
| FMS-AR-017 | The Solution shall generate automated letters and/or electronic notifications to providers when a credit balance or accounts receivable has been established and when funds have been recouped via the provider's Remittance Advice. | | | | |
| FMS-AR-018 | The Solution shall provide the capability to log receipt data of each withholding or penalty request including the completion date of withholding or penalty and provide reporting to DMAS. | | | | |

# Accounts Receivable Management Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-AR-019 | The Solution shall provide capability to automatically setup recoupments based on payment transactions type, including but not limited to advance payments and manual check issues. | | | | |
| FMS-AR-020 | The Solution shall provide the capability to calculate simple or compound interest with different interest rates based on DMAS business rules with the flexibility to waive interest on a case by case basis. | | | | |
| FMS-AR-021 | The Solution shall provide the ability to maintain a history of claim recovery payments in excess of expenditures and allow distribution to the appropriate parties, including providers, beneficiaries, or insurers. | | | | |
| FMS-AR-022 | The Solution shall provide the capability to recover payment adjustments received from third parties that do not affect the provider's 1099/W2. | | | | |
| FMS-AR-023 | The Solution shall allow providers to view accounts receivable information through the provider area of the Web Portal as directed by DMAS. | | | | |
| FMS-AR-024 | The Solution shall provide the capability to search, inquire on and update all information related to recoupments. | | | | |
| FMS-AR-025 | The Solution shall provide capability to generate checks to provider related to Liens. | | | | |
| FMS-AR-026 | The Solution shall provide capability to having various levels of approvals for financial processes. | | | | |

# Accounts Receivable Management Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-AR-027 | The Solution shall provide the ability to create offsetting entries when checks are voided; define a workflow process that would automatically move case to the next step in the process once a certain criteria is met. | | | | |
| FMS-AR-028 | The Solution shall provide the capability to establish a process to automatically set up claims-generated receivables (credit balances) when credit balances remain outstanding after a specified period. | | | | |
| FMS-AR-029 | The Solution shall provide the capability to set the percentage to recoup on recoupment transactions for each payment cycle or use the system defaults. | | | | |
| FMS-AR-030 | The Solution shall make updates regarding receivables transactions available as needed for other DMAS systems. | | | | |
| FMS-AR-031 | The Solution shall provide the flexibility to reduce receivables in various manners such as monthly reductions, percentage reductions, cash reductions, and remittance processing reductions, etc. | | | | |
| FMS-AR-032 | The Solution shall provide ability to implement future changes or new methodologies associated with receivables and recovery maintenance in a timely and accurate manner when required by external entities, including but not limited to, business process changes, and State and Federal authorities. | | | | |

# Accounts Receivable Management Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-AR-033 | The Solution shall provide the capability to create and execute financial transactions based on DMAS business rules including but not limited to:<br>▪Recoupment (including setting the percentage to recoup)<br>▪Funds Received<br>▪Lump Sum Payment<br>▪Cash Advance | | | | |
| FMS-AR-034 | The Solution shall provide the capability to process accounts receivable transactions as required by DMAS including but not limited to:<br>▪Negative claim adjustments/voids<br>▪Negative retroactive adjustments<br>▪Recoupment transactions<br>▪Advancements, repayments, and offset | | | | |
| FMS-AR-035 | The Solution shall provide the capability to process Lump Sum Payment request transactions for payments to a provider that are not related to specific claims. | | | | |
| FMS-AR-036 | The Solution shall provide the capability to process Cash Advance transactions that support and monitor the generation of both an accounts payable and accounts receivable transaction for the payment to be recouped based on DMAS business rules as required by DMAS. | | | | |
| FMS-AR-037 | The Solution shall provide support for identification and application of recovery funds and lump-sum payments. | | | | |

# Accounts Receivable Management Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-AR-038 | The Solution shall provide the capability to accept and process provider payments based on DMAS business rules. | | | | |
| FMS-AR-039 | The Solution shall provide the capability to manually enter payment information received including but not limited to payment amount, check information, and date received. | | | | |
| FMS-AR-040 | The Solution shall provide the capability to enter and maintain text notes associated with recoupment payments. | | | | |
| FMS-AR-041 | The Solution shall provide the capability to receive, log, process and track payments received for past due receivables. | | | | |
| FMS-AR-042 | The Solution shall provide the capability to produce letters to providers for checks that have not cleared within a period established by DMAS. | | | | |
| FMS-AR-043 | The Solution shall provide the capability for the production of stop payment orders for checks that have not cleared within a period established by DMAS and initiate the voiding of the associated claims. | | | | |
| FMS-AR-044 | The Solution shall provide the capability to void and reissue checks and provide the claims processing Contractor the information necessary to update original claim transactions. | | | | |
| FMS-AR-045 | The Solution shall provide the capability to assign a unique control number to all recoupment transactions. | | | | |

# Accounts Receivable Management Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-AR-046 | The Solution shall provide the capability to support multiple payment adjustments for a given provider including a prioritization of accounts receivables to satisfy outstanding balances and controls to prevent duplicate recoveries. | | | | |
| FMS-AR-047 | The Solution shall provide the capability to process funds received transactions that may create history only voids/adjustments for payments sent in by a provider to refund amounts for claims. | | | | |
| FMS-AR-048 | The Solution shall provide the capability to automate the posting of non-repayment recoupments from other MES systems to the AR Module of the Financial Accounting System. | | | | |
| FMS-AR-049 | The Solution shall provide the capability to generate a file from the AR Module of the Financial Accounting System to be uploaded to the State Department of Taxation (DOT) as needed in accordance with DOT file specifications. | | | | |
| FMS-AR-050 | The Solution shall provide the ability to account for receivable transactions based on the service provided and the State and Federal percentage to ensure the appropriate amount of funds received are returned to the proper state and federal accounts. | | | | |
| FMS-AR-051 | The Solution shall provide the capability to allow for the processing of accounts receivable transactions at both the invoice level and the detailed/transaction level. | | | | |

# Accounts Receivable Management Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-AR-052 | The Solution shall provide the ability to apply receivable payments (including funds recouped via MES) at the invoice level and have system automatically pay interest invoice first and spread the remaining balance evenly across all principal invoice lines until receivable is paid in full. | | | | |
| FMS-AR-053 | The Solution shall provide the capability to receive a cash receipt file from the Cash Management Module of cash payments made for outstanding receivables and apply payment at the invoice level and have system automatically pay interest invoice first and spread the remaining balance evenly across all principal invoice lines until receivable is paid in full. | | | | |
| FMS-AR-054 | The Solution shall provide the capability to receive a recoupment file and automatically apply payment at the invoice level and have system automatically post recoupments to the interest first and spread the remaining balance evenly across all principal invoice lines until receivable is paid in full. | | | | |
| FMS-AR-055 | The Solution shall provide the ability to automatically setup receivable invoices from audit contractors using Microsoft Excel spreadsheet or other electronic media; receivables should be automatically setup in AR based on criteria provided by DMAS and an overpayment letter should be automatically generated from the Dunning database and sent. | | | | |

# Accounts Receivable Management Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-AR-056 | The Solution shall provide the ability to manage receivable invoices using the invoice number, service provided, and the applicable State and Federal percentage to ensure the appropriate amount of funds received are returned to the proper state and federal accounts. | | | | |
| FMS-AR-057 | The Solution shall establish a process that will automatically setup up negative balance transactions for claims system-generated credit balances (receivables) that remain outstanding after a specified period of time. Information related to this transaction should be used to automatically setup the receivable invoice. | | | | |
| FMS-AR-058 | The Solution shall provide the capability to retain information for all receivable transactions as specified by DMAS, including but not limited to category, invoice type, group, various statuses with related status dates, customer name, NPI, Tax ID, social security number for members, address, invoice number, invoice date, amount due and transaction number. | | | | |
| FMS-AR-059 | The Solution shall provide the capability to automatically update the status date as the status of a receivable is changed. | | | | |
| FMS-AR-060 | The Solution shall provide the capability to track receivable statuses (such as, appeals, collections, active, Repayment, etc.). | | | | |
| FMS-AR-061 | The Solution shall provide the capability to create amortization schedules for repayment receivables. | | | | |

# Accounts Receivable Management Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-AR-062 | The Solution shall provide the ability to generate standard reports for receivables with a status of collection, for the Department of Taxation and Office of the Attorney General as specified by DMAS. | | | | |
| FMS-AR-063 | The Solution shall provide the ability to generate standard reports for quarterly reporting to DOA and CMS in accordance with DMAS specifications. | | | | |
| FMS-AR-064 | The Solution shall provide the capability to support Receivable management for entities other than providers, including but not limited to: members, attorneys, health and casualty insurance Companies, courts and individual restitutions. | | | | |
| FMS-AR-065 | The Solution shall provide the ability for all Cash and Grants Management Accounting transactions to include account coding for use by, but not limited to, the Cardinal Chart of Accounts in the Commonwealth of Virginia's Cardinal Financial System and State and Federal Reporting requirements. | | | | |
| FMS-AR-066 | The Solution shall provide the ability for all Cash and Grants Management Accounting transactions to flow to the General Ledger and Commonwealth of Virginia's Cardinal Financial System for posting daily with required Accounting Code. | | | | |
| FMS-AR-067 | The Solution shall provide the capability to record all Receipts instruments including, but not limited to, Grants, Cash, Checks, Wires Transfers, EFT, Credit Card, and State Agency Revenue Transfers, and reflect all State and Federal required recording and reporting detail information. | | | | |

# Accounts Receivable Management Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-AR-068 | The Solution shall provide the capability to generate Daily Deposit Transactions with required account coding for mapping to the General Ledger and Cardinal Chart of Accounts in the Commonwealth of Virginia's Cardinal Financial System and State and Federal Reporting requirements. | | | | |
| FMS-AR-069 | The Solution shall provide the capability to apply Receipt instruments to outstanding Receivables Invoice(s) in Accounts Receivable including all State and Federal required recording and reporting detail information. | | | | |
| FMS-AR-070 | The Solution shall provide the ability to generate Daily Receipt AR Invoice Application Transactions with required account coding for mapping to the General Ledger and Cardinal Chart of Accounts in the Commonwealth of Virginia's Cardinal Financial System and State and Federal Reporting requirements. | | | | |
| FMS-AR-071 | The Solution shall provide the ability to generate Cash and Grants Management Reports with required information for State and Federal Reporting, and ensure that information agrees with transactions posted to the General Ledger and Commonwealth of Virginia's Cardinal Financial System. | | | | |
| FMS-AR-072 | The Solution shall provide access to a database of Dunning (Overpayment) letters for providers and recipients. | | | | |
| FMS-AR-073 | The Solution shall provide the ability to modify Overpayment letters as required by State and Federal Regulations. | | | | |

# Accounts Receivable Management Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-AR-074 | The Solution shall provide the capability to confirm the validity of provider information against the related claims information including but not limited to provider ID and applicable service types (MPC) prior to setting up new invoices to ensure the provider exists in MES and that it will be feasible to recoup funds owed to DMAS. | | | | |
| FMS-AR-075 | The Solution shall support real-time views into member eligibility, provider eligibility, other reference tables used in claim processing and payment history to support TPL and Estate Recovery investigation as well as other types of recoveries (e.g. Casualty, Special Needs Trust, Annuities, Long Term Care insurance, Worker's Comp. Pre-need Burial Trust, Recipient Audit Unit cases, Provider Audit Cases, and vendor case referrals to Accounts Receivable Unit to pursue collections). | | | | |
| FMS-AR-076 | The Solution shall provide online tools to compute the recovery amount based on the details of a record (e.g., TPL resources, thresholds and limits, manual data entry of services and charges when information cannot be obtained electronically, etc.). The information for the reporting above must be provided to the data warehouse. | | | | |

# Accounts Receivable Management Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-AR-077 | The Solution shall provide a calculation of a member's total payment history, as well as payments for services rendered on or after age 55, for estate recovery purposes as well as other types of recoveries deducting any amounts that have previously been recovered by DMAS , incorrectly paid benefits, or services not allowed to collect through the Estate recovery process, etc. | | | | |
| FMS-AR-078 | The Solution shall provide integrated views of all debts that a specific debtor (e.g., member, member's relatives, providers, power of attorney, insurance companies, other interested parties, etc.) owes across all aspects of a recovery record. | | | | |
| FMS-AR-079 | The Solution shall provide the functionality to enable authorized users to designate case assignment criteria by one or more criteria. | | | | |

# Accounts Payable Management Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-AP-001 | The Solution shall provide a solution that addresses the Accounts Payable Management business processes to be included in the Financial Management system, supports the MITA 3.0 Framework at a MITA capability level of 3 or higher, and includes the following capabilities:<br>▪Provide standard reports that supply the information needed to operate, control, manage and monitor the Accounts Payable Management business processes<br>▪Provide for the customization of reports included in the solution and additional reports defined by DMAS to meet critical DMAS business needs related to Accounts Payable Management<br>▪Provide the capability for DMAS users to produce ad hoc reports based on the data processed and generated by the Accounts Payable Management processing<br>▪Provide configurable automated work flow support for Accounts Payable Management processing<br>▪Provide a configurable automated rules engine to support the Accounts Payable Management processing<br>▪Log all on-line and batch Accounts Payable Management processing transactions, including user ID, the date and time of the transactions and all activity on each record<br>▪Provide the capability for DMAS users to view online, user-friendly images of Accounts Payable Management audit trails based on flexible search criteria<br>▪Publish all Accounts Payable Management data needed for interfaces, including but not limited to Cardinal, the data warehouse, and other systems | | | | |

# Accounts Payable Management Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-AP-002 | The Solution shall provide the capability to enter and update a financial transaction that includes all the information required to create, manage and close a payable. | | | | |
| FMS-AP-003 | The Solution shall provide the ability to establish a workflow process to receive an invoice from a customer via email, capture invoice information into a standard format for subsequent processing, and secure necessary review and approval. | | | | |
| FMS-AP-004 | The Solution shall provide capability to send approved invoice information into the accounts payable process for subsequent payment. | | | | |
| FMS-AP-005 | The Solution shall provide the capability to interface with the DMAS contract management COTS system to provide the status of payables and maintain a repository of all contractor payments. | | | | |
| FMS-AP-006 | The Solution shall provide the capability to generate automated reports down to the lowest transactional level as identified by DMAS. | | | | |
| FMS-AP-007 | The Solution shall provide the capability to receive and process payment requests from the DMAS Contracts Management COTS System, such as the administrative payments made to contractors (non-providers). | | | | |

# Accounts Payable Management Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-AP-008 | The Solution shall provide the capability to produce all DMAS financial reporting to meet the Statewide Accounting and Federal Reporting Requirements including, but not limited to, Commonwealth Accounting and Financial Report requirements (CAFR) Appropriations Act, Prompt Pay Act, Cash Management and Improvement Act (CMIA), Federal Funds Participation requirements (FFP). | | | | |
| FMS-AP-009 | The Solution shall provide the ability to account for all 'non-MMIS administrative' payments including those reported in the CMS-64 i.e., Building Services, inter-agency payments (General Services, Attorney General, VITA), employee reimbursements, contractors (for services provided), small purchase credit card payments, etc. | | | | |
| FMS-AP-010 | The Solution shall provide the capability to pay the total amount generated through the remittance process which represents all of the payments to the providers and contractors for the week. | | | | |
| FMS-AP-011 | The Solution shall provide the capability to interface with the State Accounting system to record payment all DMAS payroll expenses from an external system Commonwealth Integrated Payroll/Personnel System (CIPPS). | | | | |
| FMS-AP-012 | The Solution shall provide the capability to pay contractors associated with MMIS-related contracts i.e., Service Authorizations, BHSA, Dental, etc., and post as financial transactions and expended at the federal FFP for administrative payments. | | | | |

# Accounts Payable Management Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-AP-013 | The Solution shall provide the capability to manage all financial weekly processes associated with payable disbursements by a variety of characteristics i.e., accounting codes, mapping to fund splits, etc. | | | | |
| FMS-AP-014 | The Solution shall provide the capability to generate a remittance advice (payment advice) for non-provider payments in the format and media required by DMAS. | | | | |
| FMS-AP-015 | The Solution shall provide capability to maintain complete audit trails for all payments, changes and updates made to the financial system. | | | | |
| FMS-AP-016 | The Solution shall produce and make available the check register and EFT register to the State and State Comptroller and independent auditors at the end of each payment cycle. | | | | |
| FMS-AP-017 | The Solution shall provide updates to other contractor's claims history and online financial files with the payment identification (check number, EFT number, warrant number or other), date of payment and amount paid after the payment cycle. | | | | |
| FMS-AP-018 | The Solution shall provide the capability to net provider payments against credit balance or accounts receivable amounts due in the payment cycle in determining the payment due the provider. | | | | |

# Accounts Payable Management Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-AP-019 | The Solution shall provide payment via electronic funds transfer (EFT) as an option, including the capability to process EFT reimbursements to providers for EFT returns, cleared checks, un-cleared checks, stop payment orders, reissued checks, and payment errors and perform monthly bank reconciliation and other money management tasks. | | | | |
| FMS-AP-020 | The Solution shall remove EFT payments from the banking file prepared for EFT transfers; and pull/remove associated remittance advices at DMAS's request. | | | | |
| FMS-AP-021 | The Solution shall provide the capability to directly deposit HIPP and HIV payments. | | | | |
| FMS-AP-022 | The Solution shall provide the capability to manage all of the business processes associated with accounts payable that meets the needs for DMAS, VA State Accounting and CMS. | | | | |
| FMS-AP-023 | The Solution shall provide the capability to process accounts payable transactions including but not limited to: claims, adjustments/voids, retroactive adjustments, lump sum payments and cash advances. | | | | |

# Accounts Payable Management Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-AP-024 | The Solution shall assign a general ledger multi-purpose code to every expenditure. DMAS requires a certified financial accounting system (general ledger system) complete with a chart of accounts to capture all payables activity in order to meet state and federal accounting and reporting requirements the system must include at least an AP module, AR module, and GL module that meet accounting and reporting industry standards. | | | | |
| FMS-AP-025 | The Solution shall provide the capability to reconcile accounts with the designated financial institution based on the exchange of files containing information related to the status of payments including those made by EFT. | | | | |
| FMS-AP-026 | The Solution shall produce hard-copy checks for the payment cycle (for providers requesting that option) and maintain control of all hard copy checks until distributed to providers. | | | | |
| FMS-AP-027 | The Solution shall provide the capability to issue manual checks on an as-needed basis for any special payments as directed. The contractor must arrange to have manual checks delivered via expedited (twenty-four hour) delivery upon request by the Department. | | | | |
| FMS-AP-028 | The Solution shall provide the information required to view and export, in a human readable format, all supporting claim information pertaining to a payment. | | | | |

# Accounts Payable Management Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-AP-029 | The Solution shall enable DMAS access to web-based application to provider data to support oversight of financial management pre-payment and post payment review functions. Provider data shall include but is not limited to National Provider Identifier (NPI), ownership, multiple provider specific reimbursement rates with begin and end dates, financial institution, account number, payment amounts, and payment effective dates. | | | | |
| FMS-AP-030 | The Solution shall provide the capability to manage all of the business processes associated with accounts payable that meets the needs for DMAS, VA State Accounting and CMS. | | | | |
| FMS-AP-031 | The Solution shall support all federal 1099 requirements. | | | | |
| FMS-AP-032 | The Solution shall generate annual 1099s for all providers, vendors and contractors that reflect all payments and adjustments made through the financial system, i.e., claims, adjustments, voids, and any other financial transactions. | | | | |
| FMS-AP-033 | The Solution shall provide the capability to report detail on 1099 amounts by provider's NPI even though the 1099 is aggregated by TIN. | | | | |
| FMS-AP-034 | The Solution shall provide electronic 1099s to providers when requested. | | | | |
| FMS-AP-035 | The Solution shall provide electronic 1099s to providers for lost or updated and/or modified 1099 information. | | | | |
| FMS-AP-036 | The Solution shall support a 1099 request received through the Provider Portal. | | | | |

# Accounts Payable Management Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-AP-037 | The Solution shall send 1099s to a secure mailbox. | | | | |
| FMS-AP-038 | The Solution shall produce a verification report for DMAS review prior to production of the 1099s. | | | | |
| FMS-AP-039 | The Solution shall provide the functionality to allow authorized users to review 1099 production data and approve or deny release of records. | | | | |
| FMS-AP-040 | The Solution shall support the B-Notice process. | | | | |
| FMS-AP-041 | The Solution shall provide the capability for the Disbursements accounting structure to utilize the same chart of accounts that is used by the agency's general ledger function. | | | | |
| FMS-AP-042 | The Solution shall provide the ability to process and validate all (internal) expenditure transactions and then post to the general ledger. | | | | |
| FMS-AP-043 | The Solution shall provide the ability to post expenditure transactions originating from external systems (outside DMAS' certified financial accounting system) directly to the general ledger via automated interfaces, including but not limited to the DOA's direct keying of CIPPS-Payroll, DOA's direct keying of Cardinal expenditures, and MES contractor generated payments (e.g., adjudicated claim). | | | | |
| FMS-AP-044 | The Solution shall provide the capability to maintain accurate vendor tables using data exchanges with Cardinal. | | | | |

# Accounts Payable Management Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-AP-045 | The Solution shall provide the ability to pay or reimburse a non-member for expenses incurred due to out-of-state transportation. Associate the reimbursement with the member's record. | | | | |
| FMS-AP-046 | The Solution shall provide the ability to pay or reimburse an atypical provider for expenses incurred due to out-of-state transportation. | | | | |
| FMS-AP-047 | The Solution shall provide the ability to generate payments to an administrative services only (ASO) vendor according to DMAS specifications, based on an encounter data file containing ASO paid claim amounts. | | | | |

# Fiscal Management Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-FM-001 | The Solution shall provide a solution that addresses the Fiscal Management business processes to be included in the Financial Management system, supports the MITA 3.0 Framework at a MITA capability level of 3 or higher, and includes the following capabilities:<br>▪Provide standard reports that supply the information needed to operate, control, manage and monitor the Fiscal Management business processes<br>▪Provide for the customization of reports included in the solution and additional reports defined by DMAS to meet critical DMAS business needs related to Fiscal Management<br>▪Provide the capability for DMAS users to produce ad hoc reports based on the data processed and generated by the Fiscal Management processing<br>▪Provide configurable automated work flow support for Fiscal Management processing<br>▪Provide a configurable automated rules engine to support the Fiscal Management processing<br>▪Log all on-line and batch Fiscal Management processing transactions, including user ID, the date and time of the transactions and all activity on each record<br>▪Provide the capability for DMAS users to view online, user-friendly images of Fiscal Management audit trails based on flexible search criteria<br>▪Publish all Fiscal Management data needed for interfaces, including but not limited to Cardinal, the data warehouse, and other systems | | | | |
| FMS-FM-002 | The Solution shall provide the capability to extract the DMAS budget from the Statewide Accounting System (Cardinal). | | | | |

# Fiscal Management Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-FM-003 | The Solution shall provide an interface with the VA Department of Planning and Budget's (DPB) Performance Budgeting System (PBS) to maintain initial and updated appropriations at the required funding level. | | | | |
| FMS-FM-004 | The Solution shall provide the ability to enter and maintain DMAS budget information in accordance with DMAS account code structure. | | | | |
| FMS-FM-005 | The Solution shall provide the capability to load a budget from an external source. | | | | |
| FMS-FM-006 | The Solution shall provide the capability to show changes to the budget throughout the fiscal year, as well as any transfer amounts into and out of the budget. | | | | |
| FMS-FM-007 | The Solution shall provide capability for DMAS to pend expenditures when funds are not available and to target the claims to be pended by a variety of claim data elements, including but not limited to provider, provider taxonomy, and type of service. | | | | |
| FMS-FM-008 | The Solution shall provide capability for DMAS to reallocate funds between budget programs and subprograms (e.g., Medicaid, FAMIS, and MCHIP) with appropriate approval. | | | | |
| FMS-FM-009 | The Solution shall provide capability to manage budget by various categories, including but not limited to, Hierarchy for budget; Program, Sub program, Fund Type, Object Code. | | | | |
| FMS-FM-010 | The Solution shall provide capability to share data with the other agencies; i.e., Federal, State and Intrastate agencies. | | | | |

# Fiscal Management Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-FM-011 | The Solution shall provide capability to import and export expenditure and budget data between different entities, including, but not limited to DOA, DPB, and generate report results of transferred data. | | | | |
| FMS-FM-012 | The Solution shall provide capability to change the FMAP as dictated by CMS. | | | | |
| FMS-FM-013 | The Solution shall provide capability to allow for additional fund types to be added at any program level. | | | | |
| FMS-FM-014 | The Solution shall provide the capability to assign weekly payment cycle funding information by various appropriations pursuant to DMAS accounting rules. | | | | |
| FMS-FM-015 | The Solution shall establish and maintain a zero balance bank accounts for benefits programs and special payments. Reimbursement from accounts shall be under the direction of DMAS.<br>▪Any interest earned on this account shall accrue to DMAS.<br>▪Transfer special payment account funds to DMAS designated bank account at the direction of DMAS.<br>▪Reconcile accounts with the designated Financial Institution based on the exchange of files containing information related to the status of checks and EFTs. | | | | |

# Payment and Reporting Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-PR-001 | The Contractor shall provide a solution that addresses the Payment and Reporting business processes to be included in the Financial Management system, supports the MITA 3.0 Framework at a MITA capability level of 3 or higher, and includes the following capabilities:<br>▪Provide standard reports that supply the information needed to operate, control, manage and monitor the Payment and Reporting business processes<br>▪Provide for the customization of reports included in the solution and additional reports defined by DMAS to meet critical DMAS business needs related to Payment and Reporting<br>▪Provide the capability for DMAS users to produce ad hoc reports based on the data processed and generated by the Payment and Reporting processing<br>▪Provide configurable automated work flow support for Payment and Reporting processing<br>▪Provide a configurable automated rules engine to support the Payment and Reporting processing<br>▪Log all on-line and batch Payment and Reporting processing transactions, including user ID, the date and time of the transactions and all activity on each record<br>▪Provide the capability for DMAS users to view online, user-friendly images of Payment and Reporting audit trails based on flexible search criteria<br>▪Publish all Payment and Reporting data needed for interfaces, including but not limited to Cardinal, the data warehouse, and other systems | | | | |
| FMS-PR-002 | The Solution shall provide the capability to support the generation of a detailed remittance advice (RA) for each provider, contractor and vendor that reflects all activity in a payment cycle. | | | | |
| FMS-PR-003 | The Solution shall generate remittance advice print images. | | | | |

# Payment and Reporting Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-PR-004 | The Solution shall provide the capability to generate a data file to provide information for electronic RAs that meet the current HIPAA standards for the X12 835 transaction. | | | | |
| FMS-PR-005 | The Solution shall support the use of HIPAA compliant codes on denied and paid claims. | | | | |
| FMS-PR-006 | The Solution shall provide the capability to display adjustment and or void information in a separate section of the remittance advice. | | | | |
| FMS-PR-007 | The Solution shall support the production of payment instruments, including both paper and ACH EFT transactions, for providers, payees, contractors, members, and vendors and assign State accounting information to detailed transactions. | | | | |
| FMS-PR-008 | The Solution shall support all phases of applicable CAQH/CORE operating rules. | | | | |
| FMS-PR-009 | The Solution shall provide the capability to support online access to remittance advices through a web-based browser. | | | | |
| FMS-PR-010 | The Solution shall support the ability to view remittance advice images via the Provider Portal. | | | | |
| FMS-PR-011 | The Solution shall support the ability to provide payment and other information via the Provider Portal. | | | | |
| FMS-PR-012 | The Solution shall provide the capability to generate a data file to provide information that meets the current HIPAA standards for the X12 820 transaction. | | | | |

# Disaster Recovery Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-NFR-DR-001 | The Contractor shall prepare and submit for Department approval a comprehensive Disaster Recovery Plan due to the Department on an annual basis and after a substantive change to the FMS that would require revision to the DR Plan. | | | | |
| FMS-NFR-DR-002 | The Contractor shall provide back-up processing capability at a remote site from the primary site such that normal FMS processing can continue in the event of a disaster or major hardware problem at the primary site. All operations at the remote back-up site will meet established contractual performance and SLA requirements. | | | | |
| FMS-NFR-DR-003 | The Contractor shall coordinate with and demonstrate to the Department the Contractor's disaster recovery capabilities in accordance with SLAs. The Contractor will include recovery of any new functionality implemented during the previous year. | | | | |
| FMS-NFR-DR-004 | The Contractor shall, in the event of a catastrophic (i.e. possibility of crimes, terrorism, hackers, intentional torts, human error, virus, etc.) or natural disaster, resume normal operational business functions at the earliest possible time in accordance with specified SLAs and according to the Department-approved disaster recovery plan. | | | | |
| FMS-NFR-DR-005 | The Contractor shall, in the event of other disasters caused by such things as criminal acts, human error, malfunctioning equipment, computer viruses, or electrical supply, resume normal business functioning at the earliest possible time, in accordance with SLAs. | | | | |

# Disaster Recovery Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-NFR-DR-006 | The Contractor shall plan and coordinate disaster recovery activities with Department-approved business partners. | | | | |
| FMS-NFR-DR-007 | The Contractor shall coordinate with and demonstrate to the Department the Business Continuity and Contingency Plan every calendar year in conjunction with the annual disaster recovery demonstration. | | | | |
| FMS-NFR-DR-008 | The Contractor shall leverage and use the LAST environment as the Disaster Recovery site for the FMS. The extent to which the primary site cannot be restored in accordance with SLAs, may determine that the recovery site be considered the new primary site. | | | | |
| FMS-NFR-DR-009 | The Contractor shall, upon notification by DMAS that the primary production site is deemed inoperable, execute the Disaster Recovery Plan. | | | | |
| FMS-NFR-DR-010 | The Contractor shall provide back-up network connectivity at both the primary Production and Disaster Recovery sites with the capacity to support FMS and its components. | | | | |
| FMS-NFR-DR-011 | The Contractor shall ensure that the DRP is available to Commonwealth and Federal auditors at all times. | | | | |
| FMS-NFR-DR-012 | The Contractor shall establish, in cooperation with DMAS a hierarchy of critical services and infrastructure to determine the order that services will be restored. | | | | |
| FMS-NFR-DR-013 | The Contractor shall maintain a DRP that provides for the recovery of critical FMS services in accordance with SLAs upon the discovery of the service disruption, the declaration of a disaster or FMS Production site becoming unsafe or inoperable. | | | | |

# Disaster Recovery Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-NFR-DR-014 | The Contractor shall maintain or otherwise arrange for a disaster recovery site for its system operations in the event of a disaster that renders the FMS Production site inoperable. | | | | |
| FMS-NFR-DR-015 | The Contractor shall modify the DRP, software installation procedures, and operational procedures as needed to reflect the changes implemented with new data sources, system changes, or any enhancements that will impact the disaster recovery capability. | | | | |
| FMS-NFR-DR-016 | The Contractor shall perform an annual review of the disaster recovery back-up site, procedures for all off-site storage and validation of security procedures. | | | | |
| FMS-NFR-DR-017 | The availability schedules and corresponding SLAs for the Production FMS shall apply to the disaster recovery environment when fulfilling the Production role. | | | | |
| FMS-NFR-DR-018 | The Contractor's DRP test shall be performed, each year at no additional cost to DMAS. In the event the Contractor's test is deemed by HHS to be unsuccessful, the Contractor shall continue to perform the test at its expense until satisfactory results are received and approved by DMAS. | | | | |
| FMS-NFR-DR-019 | The Contractor shall develop, maintain, and submit to DMAS, in advance, all proposed off-site procedures, locations, and protocols for DMAS review and approval prior to implementation. The Contractor shall incorporate these items as components of the Disaster Recovery Plan (DRP). | | | | |

# Disaster Recovery Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-NFR-DR-020 | The Contractor shall execute a disaster recovery test to demonstrate the capability of the Contractor to restore processing capability in accordance with the DRP and for all critical system components at a remote site. The DRP test shall be included as a part of Acceptance Testing. The length of the test shall be the amount of time that is necessary to recover from the disaster and provide proof that the recovery has been successfully completed. | | | | |
| FMS-NFR-DR-021 | The Contractor shall take all precautions to ensure that EDW system interruptions in service, resulting from a Production hardware failure, data corruption or a disaster that renders the Contractor's primary computer facility unusable are avoided. | | | | |
| FMS-NFR-DR-022 | If the FMS production site becomes unavailable during the contract period, the Contractor shall be required to move FMS operations to the disaster recovery site. In this event, the Contractor shall not be allowed to return to the original FMS production site without approval of DMAS. | | | | |
| FMS-NFR-DR-023 | The Contractor shall comply with all SLAs that are relevant to Disaster Recovery Requirements. | | | | |

# Disaster Recovery Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-NFR-DR-024 | The Contractor's Disaster Recovery Plan shall adhere to Commonwealth and Federal laws, rules, regulations, and guidelines, will address recovery of FMS functions, human resources and the technology infrastructure and shall include:<br>▪Checkpoint/restart capabilities<br>▪Retention and storage of back-up files and software<br>▪Hardware back-up for the servers<br>▪Hardware back-up for data entry<br>▪Network back-up for telecommunications<br>▪Telephone communications lines to the disaster back-up site<br>▪Recovery prioritization list (hardware and software applications)<br>▪Telecommunication Voice Switch | | | | |
| FMS-NFR-DR-025 | The Contractor's Disaster Recovery Plan shall include detailed procedures to address (but not be limited to) the following potential events:<br>▪ Natural disasters (e.g., earthquake, fire, flood, storms)<br>▪Terrorist acts<br>▪Power disruptions or power failure<br>▪Computer software or hardware failures<br>▪Computer shutdown due to hackers or viruses<br>▪Significant compromises/degradation of FMS performance<br>▪Processing shutdowns | | | | |
| FMS-NFR-DR-026 | The Contractor shall coordinate with VITA to meet the minimum geographic offsite location requirement of 100 miles between the disaster recovery site and the Production environment site. | | | | |

# Manage Accounts Receivable Cases Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-AR-CM-001 | The Solution shall provide a case management system to support Third Party Liability (TPL), Estate Recovery as well as other recovery types. | | | | |
| FMS-AR-CM-002 | The Solution shall create and manage receivables through the case management system. | | | | |
| FMS-AR-CM-003 | The Solution shall support customized letter generation through the case management system. | | | | |
| FMS-AR-CM-004 | The Solution shall provide the capability to support interfaces between the case management system and accounts receivable system. AR Invoices and the related customers that are created in the case management system are to be interfaced to the Financial System daily (customer IDs, customer name and address, the invoices will include the amount of the invoice, FFP dates, object codes, type of recovery case, finance charges, credit memos etc.) for cases established in the case management system. The daily interface process will exchange payments received and applied to these AR invoices in the Financial system and interface that payment to the AR invoice housed in the Case Management system. | | | | |
| FMS-AR-CM-005 | The Solution shall create and support reports relating to daily interfaces, balancing reports, user reports, ability to create excel/txt etc. files from reports in the case management system to be used by internal and external entities. Support the scan process, Reference Maintenance tables and customer tables used to create cases in the case management system. | | | | |

# Meeting Space Requirements

| Requirement ID | Requirement | Compliant? | Availability | Date | Proposal Mapping |
|---|---|---|---|---|---|
| FMS-MTG-001 | The Contractor shall provide appropriate space to conduct meetings during the DDI phase that require DMAS staff attendance, including but not limited to JADs, walkthroughs, and team meetings. The space would ideally be within walking distance of the DMAS offices, but must be no more than 3 miles from 600 East Broad Street. Include the number of sessions, length of sessions, and capacity in your proposal. The proposed meeting space should be fully functional to ensure productivity, including but not limited to accommodate teleconferences, connectivity for WebEx meetings, projector equipment and white boards. | | | | |