



**NEW MEXICO HEALTH INSURANCE EXCHANGE (NMHIX)
REQUEST FOR PROPOSALS FOR**

Independent Verification and Validation Services (IV&V) Vendor

RFP No. 2014/100

RFP Issued: Friday, January 17, 2014

Proposals Due By: Thursday, February 13, 2014

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1. BACKGROUND INFORMATION

1.1. Background on the New Mexico Health Insurance Exchange

The New Mexico Legislature passed SB 221 and 589 as amended, the “New Mexico Health Insurance Exchange Act,” (the “Act”) during the 2013 Regular Session, and Governor Suzanna Martinez signed the Act on March 28, 2013. The New Mexico Health Insurance Exchange (the “Exchange”) is created as a nonprofit public corporation (501c4).

Our mission is to provide qualified individuals and employers with increased access to health insurance in New Mexico. Our vision is to improve the quality of life for New Mexicans, especially when it comes to their health, their access to health care providers, and their financial security.

The Exchange is governed by a 13-member board of directors that was appointed in April 2013. Since then the board has made the following decisions:

- The Exchange will be a Hybrid model in 2014 and a State based Exchange in 2015;
- The Exchange will create the SHOP for small business and will use the Federal platform to enroll individuals until the Exchange system is ready to enroll consumers in 2015.

Currently New Mexico has a high rate (23%) of uninsured; health workforce shortages, language and cultural barriers, significant poverty, poor educational attainment, and a significant number of its small businesses do not offer health insurance to employees. Of New Mexico’s population of two million, Medicaid covers 550,000 individuals; Medicare covers 300,000 and 430,000 are uninsured. Of the uninsured, an estimated additional 175,000 may become eligible for Medicaid and up to 211,433 for the Exchange between 2014 and 2020. An estimated 171,557 uninsured will enroll in 2014; approximately 89,000 through Medicaid expansion, and 82,557 in the Exchange. All numbers are preliminary and will be adjusted as early open enrollment numbers are released and analyzed.

Open enrollment started October 1, 2013, and continue through March 31, 2014. The effective start date of coverage for consumers who enroll in a plan prior to mid-December is January 1, 2014.

NMHIX has been working with GetInsured (GI) as a technology vendor, Public Consulting Group (PCG) as a project management vendor, and Deloitte as the HSD IT vendor working on NMHIX integration with Medicaid. The GI HIX solution for SHOP went live on October 1, 2013. The GI HIX solution for the individual marketplace is scheduled to go live October 1, 2014.

1.2. Purpose of the RFP

NMHIX is soliciting responses from qualified Offerors that are able to provide Independent Verification and Validation (IV&V) services during the Design, Development and Implementation (DDI) of the NMHIX system. The Contractor should be able to assess whether NMHIX and its partners (GetInsured as the technology solution vendor and Public Consulting Group as the project management vendor) are on track to implement the requisite technology for the HIX in time for enrolling consumers into qualified health plans (QHPs) by October 1 2014, as well as meeting all the other specified requirements for Exchanges under the Affordable Care Act.

2. ADMINISTRATIVE INFORMATION

2.1. Procurement Administrator

The Procurement Administrator for this project shall be:

Raj Shethia
Director of Information Technology
New Mexico Health Insurance Exchange
6301 Indian School Road NE, Suite 100
Albuquerque, NM 87110
505-314-5200
RFP@nmhix.com
(Please include "IV&V RFP" in the subject of any emails)

Offerors may submit questions to the Procurement Administrator at the email listed above.

2.2. Key Dates

Activity	Date
Issue RFP	January 17, 2014
Submission of Written Questions	January 23, 2014
Written Responses to Questions and Addendum to RFP Posted (as necessary)	January 30, 2014
Proposals Due	February 13, 2014 3 P.M. Mountain Time
IV&V Evaluation Committee Meeting	February 18, 2014
Anticipated Contract Award	February 28, 2014
Anticipated Contract Execution Date	February 28, 2014

2.3. Contract Period and Terms & Conditions

NMHIX intends on signing a 10-month contract (February 28-December 31, 2014) with the IV&V Contractor, with the possibility of two 6-month extensions.

2.4. Restrictions on Communications

From the issue date of this RFP until the Evaluation Committee announces its preferred Contractor, all communications related to this RFP must be with the Procurement Administrator, and all such communications must be done via email . The Procurement Administrator will respond only to written questions in emails regarding the procurement process and this RFP. Oral questions will not be accepted. Offerors may be disqualified if they contact any employee or affiliate of The Health Insurance Exchange regarding this RFP. NMHIX responses to submitted questions will be posted to the NMHIX website.

2.5. Questions and Requests for Clarifications

Offeror's may submit questions to the Procurement Administrator through the email noted in Section 2.1. The NMHIX may provide written responses to those questions, but are not obligated to do so.

2.6. Amendment and Withdrawal of this RFP

The NMHIX reserves the right to amend or withdraw the RFP at any time and for any reason. Amendments and or notices of withdrawal will be sent to the list of interested Offerors.

2.7. Amendment and Withdrawal of Proposals

Offerors may amend or withdraw their Proposals at any time before the Award Date. The amendment must be in writing, signed by Offeror, and received by the time set for the receipt of Proposals. Offerors must notify the Procurement Administrator in writing prior to the deadline for Proposals if they wish to completely withdraw their Proposals.

2.8. Submission of Proposals

The Procurement Administrator must receive all components of the Proposal by the deadline as detailed in Section 5.4. It is Offeror's responsibility to ensure that the Proposal is received prior to the deadline. Postmarking by the due date will not substitute for actual receipt of the Proposal.

2.9. Costs of Preparing the Proposal

The costs of preparation and delivery of the Proposal are solely the responsibility of the Offeror.

2.10. No Commitment to Contract

The NMHIX reserves the right to reject any or all Proposals received in response to this RFP at any time prior to the execution of the Contract. Issuance of this RFP in no way constitutes a commitment by the NMHIX to award a contract.

2.11. Rejection of Proposals

The NMHIX may reject outright and not evaluate any Proposal that does not comply with the terms of this RFP.

2.12. Nonmaterial Variances

The NMHIX reserves the right to waive or permit cure of nonmaterial variances in a Proposal if, in the judgment of the NMHIX IT Director, it is in the Exchange's best interest to do so. The determination of materiality is in the sole discretion of NMHIX.

2.13. Subcontractors

Contractor is solely responsible for fulfillment of the Contract. The NMHIX will make payments only to the Contractor. The Contractor will not subcontract any portion of the services to be performed under the Contract without the prior expressed written approval of The Health Insurance Exchange. Contractor will include all proposed subcontractors in its Proposal. Subcontractors must be clearly identified within the proposal. In the event The Health Insurance Exchange approves any subcontractor, Contractor will remain fully responsible for complying with the duties and obligations under the Contract.

Any use of subcontractors by Contractor will not obligate NMHIX as a party to the subcontract, nor create any right, claim, or interest for the subcontractor against The Health Insurance Exchange, its agents, employees, representatives, or successors. The parties agree that there are no third party beneficiaries, intended or otherwise, to the Contract.

2.14. Reference Checks

The NMHIX IT Director may contact any reference to assist in the evaluation of the Proposal, to verify information contained in the Proposal, or to discuss Offeror's qualifications and the qualifications of any subcontractor identified in the Proposal.

2.15. Information from Other Sources

The NMHIX reserves the right to obtain and consider information from other sources concerning an Offeror, such as Offeror's capability and performance under other contracts, the qualifications of any subcontractor identified in the Proposal, Offeror's financial stability, past or pending litigation, and other publicly available information.

2.16. Proposal Clarification Process

The NMHIX reserves the right to contact an Offeror after the submission of Proposals for the purpose of clarifying a Proposal. This contact may include written questions, interviews, site visits, or requests

for corrective pages in Offeror's Proposal. The NMHIX will not consider information received from or through Offeror if the information materially alters the content of the Proposal or the type of services Offeror is offering to the NMHIX. An individual authorized to legally bind Offeror shall sign responses to any request for clarification. Failure to comply with requests for additional information may result in rejection of the Proposal.

2.17. Disposition of Proposals

All Proposals become the property of NMHIX and shall not be returned to the Offeror.

2.18. Requests for Confidential Treatment

Any Proposal submitted which contains information for which Offeror is requesting confidential treatment must be conspicuously marked by Offeror on the outside as containing confidential information, and each page upon which confidential information appears must be conspicuously marked as containing confidential information.

Failure to properly identify specific information as confidential shall relieve The Health Insurance Exchange from any responsibility to treat such information as confidential. Information not marked confidential may be viewed by the public.

As between the NMHIX and the Offeror, the NMHIX will own all right, title and interest in and to and all ideas presented in any Proposal, and shall therefore have the right to use any such ideas.

2.19. Release of Claims

By submitting a Proposal, Offeror agrees that it waives and releases all claims or causes of action against the NMHIX based on any misunderstanding concerning the information provided in this RFP or concerning The Health Insurance Exchange's failure, negligent or otherwise, to provide Offeror with pertinent information in this RFP.

2.20. Offeror Presentations

At the sole discretion of the NMHIX and/or its Evaluation Committee, some Offerors may be asked to participate in oral interviews, presentations, and/or demonstrations prior to the selection of a Contractor. This process is intended to allow Offerors to demonstrate their proposed solutions and clarify any elements of their Proposal. Any cost associated with interviews, presentations, and/or demonstrations will be borne solely and entirely by Offeror. The presentation may occur at The Health Insurance Exchange's offices, via the Internet, or at another location as specified by The Health Insurance Exchange.

2.21. Award Notice and Acceptance Period

A “Notice of Intent to Award” will be sent to the successful Offeror. Negotiation and execution of the Contract shall be completed no later than 14 days from the date of the Notice of Intent to Award or such other time as designated by NMHIX. If the successful Offeror fails to negotiate and execute in good faith a final agreement by that date, the NMHIX, in its sole discretion, may cancel the award and award the Contract to another Offeror the Health Insurance Exchange believes meets this RFP’s requirements and will provide the best value to NMHIX. A “Notice of Intent to Award” will be sent to the unsuccessful Offerors once a contract is executed or at such other time as designated by The Health Insurance Exchange.

2.22. No Contract Rights until Execution

No Offeror shall acquire any legal or equitable rights regarding the Contract unless and until the Contract has been fully executed by the successful Offeror and The Health Insurance Exchange.

2.23. Choice of Law and Forum

This RFP and the Contract shall be governed by the laws of the United States and of the State of New Mexico, without regard to principles of conflicts of law. Any and all litigation or actions commenced in connection with this RFP shall be brought to the appropriate federal or state courts in the State of New Mexico.

2.24. Protests

Any actual or prospective Offeror who believes it is aggrieved in connection with the solicitation or award of a Contract hereunder may protest to the Executive Director of The Health Insurance Exchange. Such a protest shall be submitted in writing within five working days after the aggrieved Offeror knows or should have known of the facts giving rise thereto; provided that a protest of an award or proposed award shall in any event be submitted in writing within five working days after the award of the Contract; provided further that no protest based upon the content of the RFP or other solicitation documents shall be considered unless it is submitted in writing prior to the date set for the receipt of offers.

The Executive Director of The Health Insurance Exchange or a designee may settle and resolve a protest concerning the solicitation or award of a contract hereunder. If the protest is not resolved by mutual agreement, the Executive Director of The Health Insurance Exchange or a designee shall promptly issue a decision in writing to uphold or deny the protest.

3. SCOPE OF WORK

3.1. Overview

The overall goal of the HIX IV&V project is to assess whether NMHIX and its HIX partners (GetInsured as the HIX IT Solution and Public Consulting Group as the PMO) are on track to implement the requisite technology for the HIX in time for enrolling consumers into qualified health plans (QHPs) by October 1, 2014, as well as meeting all the other specified requirements for Exchanges under the Affordable Care Act.

The NMHIX requires the IV&V Contractor to plan its work activities and deliverables around two major reviews required by the Center for Consumer Information and Insurance Oversight (CCIIO), as well as other points en route to implementation. States must complete and submit an Exchange Blueprints that documents how it's Exchange meets, or will meet, all legal and operational requirements associated with the model it chose to pursue. The CCIIO checkpoint reviews, as currently tentatively scheduled, are as follows:

1. CCIIO Final Design Review – preliminarily scheduled for June 2014
2. CCIIO Operational Readiness Review – preliminarily scheduled for August 2014

The **CCIIO Final Design Review** focuses on supporting NMHIX's effort to achieve approval by CMS CCIIO. The IV&V Contractor will conduct interviews, assessments, and issue reports according to the detailed tasks and deliverables listed in section 3.6 and 3.7 of this RFP, respectively. NMHIX will require the IV&V Contractor to provide its assessments to CMS/CCIIO and NMHIX as to whether the designated Exchange activities in the Blueprint are built and operating as designed and in compliance with documented requirements and within the specified timelines of the certification process.

The **CCIIO Operational Readiness Review** focuses on assessing NMHIX's readiness to implement the new HIX system and attendant operational processes prior to full implementation in Q3, 2014. The IV&V Contractor will be required to conduct the same assessments in the Pre-Operational IV&V review updating findings based on progress made in 2014. A final report, including a Corrective Action Plan (CAP), as needed, will be produced by the IV&V Service Provider at the end of this assessment period.

In addition to the two main IV&V reviews with CCIIO, NMHIX will require additional reports and communication leading up to implementation. Additionally, the NMIX may optionally award a two six (6) month extension period as an optional task order for additional IV&V assessment and recommendation tasks. This optional task order may require the support of the IV&V Contractor to assist in implementing their recommendations in the CAP. Additionally,

NMHIX may decide that it will assign additional deliverables to the IV&V service provider. Any optional task order award will result in an official authorization of additional scope and may include budget to perform those tasks. Additionally, the Exchange at its option may also issue a no-cost extension to the IV&V service provider to complete the work for either the fixed price portion of the contract or the optional task order period.

3.2. Goals for this Procurement

This IV&V Contractor will assess NMHIX's HIX implementation effort with particular focus in the following areas:

- A) **Project management processes** consistent with:
 - Project management standards; and,
 - Project management documents provided by the HIX IT vendors and subsequently approved by the NMHIX IT Director.
- B) **Project governance**, meaning the extent to which NMHIX and its HIX contractors have effectively:
 - Defined roles and expectations among all internal and external stakeholders;
 - Implemented an appropriate flow of project information among stakeholders;
 - Instituted a process for review and response to project issues including escalation to the appropriate NMHIX leadership; and,
 - Instituted a process for NMHIX leadership approvals (for example, sign-off on SDLC documents) at appropriate project milestones.
- C) **Technical conformance of the IT solution with the project requirements**, specifically:
 - All functional requirements defined by NMHIX and required by CCIIO as conditions of operating a state-based Exchange;
 - The architectural and non-functional requirements of NMHIX and the federal government as specified in the Information Technology and Integrated Services Vendor RFP, <http://www.nmhix.com/vendor-employment-opportunities/vendor-opportunities/> ; and,
 - NMHIX and federal standards and guidelines addressing software development methodologies, security and privacy requirements, accessibility, and other relevant standards.
- D) **Quality of implementation planning for the HIX**, with particular emphasis on ensuring that NMHIX and its IT vendors are performing the requisite quality assurance tasks to achieve CCIIO certification in accordance with the *“Draft Blueprint for Approval of Affordable State-based and State Partnership Insurance Exchanges.”*
- E) **Feasibility of the project schedule**, in light of project constraints, the need to integrate contractor managed activities and NMHIX managed activities, and the established timelines for the delivery of the system.

3.3. Offeror Organization and Staffing

The following section provides a description of the work, deliverables, Contractor and NMHIX responsibilities required to plan and executive the activities described in this RFP as they relate to organization and staffing. During the proposal process, the Offeror shall outline their approach to completing the tasks as outlined in this section and shall include resumes and references for all key personnel identified below.

The Contractor will be required to assign key personnel to the NMHIX project. Key personnel are not required to be located in Albuquerque, New Mexico, but must be available to be onsite, at the request of NMHIX. Key personnel may be requested to be on site or with NMHIX during CCIIO reviews (which may take place in Albuquerque or another location inside or outside of New Mexico. Key personnel must be available to the project as required by NMHIX.

The Contractor shall submit a staffing plan to NMHIX for review and approval. The staffing plan shall include how the Offeror plans to address staffing requirements, project roles, project responsibilities, resource allocation, staff reporting/organizational structure, and how changes in staff will be handed throughout all phases of the project, including for subcontractors (if applicable). The staffing plan shall also describe how it will train, educate and supervise staff in preparation for project work execution. In the event that the Contractor proposes to make changes to the key personnel assigned to the project at any time, the proposed change is subject to NMHIX review and approval. NMHIX also reserves to reject proposed changes in the best interest of NMHIX or the State of New Mexico.

The Offeror shall deliver in its proposal an initial Staffing Plan. The Staffing Plan must include an organization chart showing how the Offeror proposes to staff the project. The Staffing Plan must name key Offeror staff and for each staff member provide a resume, current job title, and a description of the staff member's anticipated role in this project, and estimated time dedicated to this project. If the staff member is provided by a sub-contractor, the offeror shall also note the staff member's organization in the Staffing Plan. The Offeror shall deliver a final Staffing Plan within five (5) calendar days from contract award. Review and updates to this plan are expected periodically, at the request of NMHIX.

Ideal key staff candidates shall have the qualifications and experience commensurate with performing an IV&V assessment with the scope and complexity of the NMHIX program.

Minimally, the Staffing plan must include the following positions:

- **IV&V Project Manager** – The Offeror shall include the name and resume of a qualified PMP-certified project manager who will be the principal contact with the

State for the IV&V project. This individual should have at least five (5) years of experience performing IV&V or equivalent work on IT development projects with similar size and complexity.

- **Other Key Staff** – The Offeror shall include names, resumes, and labor cost in a consistent format; shall assure that key staff meet the qualification requirements for duties and assigned; and shall assure that key staff proposed shall be devoted to the contract as proposed.

3.4. Project Management

The following section provides a description of the work, deliverables, and the Offeror and NMHIX responsibilities required to plan and execute the activities described in this RFP as they relate to Project Management and Control.

Project Management is the application of knowledge, skills, tools, and techniques to project activities to meet project requirements. The Project Management tasks consist of the Offeror's approach to planning, reporting, and meeting resource requirements throughout the term of the contract. During the proposal process, NMHIX expects the Offeror to present a clear understanding of the methods and tools used to ensure that its resources are managed to complete required tasks and deliverables as outlined in this section. During the proposal process, the Offeror shall outline their approach to completing the tasks as outlined in this section.

Project Management Description

The Offeror shall be responsible for managing all aspects of the Offeror activities identified in this RFP. Project Management activities consist of the Offeror's approach to initiating, planning, monitoring and controlling, reporting, and meeting resource requirements throughout the life of the contract. The Offeror is expected to present a clear understanding of the methods and tools used to ensure that resources are managed and that the required tasks and deliverables are completed. The Offeror will be required to utilize a formalized approach to project management, which, at a minimum, is compliant with the most recent version (5th edition) of the Project Management Institute (PMI) Project Management Book of Knowledge (PMBOK).

Project Management includes performing the tasks associated with:

- Project Initiation – Perform the initial tasks associated with determining the nature and scope of the project and identifying key stakeholders
- Project Planning – Plan time, cost, quality, resources, risks, and communications adequately to estimate the work needed to effectively execute project work
- Project Execution – Execute project work according to the project management plan (PMP)

- Project Monitoring and Controlling – Monitor and control all areas of the project defined in this RFP. This includes monitoring and controlling processes to ensure that potential problems can be identified in a timely manner and corrective action can be taken
- Project Closing – Ensure the orderly closeout of the contract

At a minimum, specific Project Management tasks shall include:

Preliminary Planning

The Offeror shall perform preliminary planning tasks to ensure that NMHIX and HIX Vendors are prepared to fully initiate project activities on the Contract start date without delays. Activities for this stage include outlining and initiating project communications, introducing respective project teams, detailing specific items negotiated in the contracted scope of work, and preparing all teams for full project initiation on the contract start date.

Project Kick-Off

The Offeror shall plan and hold Project Kick-Off activities, which will focus on setting the foundation for project management throughout the life of the contract. The Contractor shall assemble all project staff, NMHIX staff, relevant NMHIX vendors, and key NMHIX stakeholders, as directed, in order to review the project plan, schedule, project roles and responsibilities for both Offeror and NMHIX staff and provide an overview of initial project risks.

The project kick-off meeting shall occur within ten (10) business days of contract execution, the Contractor shall provide a memorandum documenting meeting minutes, decisions, and outcomes.

Project Deliverable Management

The Offeror is responsible for developing all project deliverables as outlined in this RFP. The Offeror shall include the following sections with each deliverable to ensure transparency and traceability:

- Revision History – Identifies the version of the draft, the date the draft was submitted, deliverable point of contact/person making change, and a description of changes made
- Table of Contents – Provides an overview of all the contents within the deliverable along with a page references
- List of Figures- Provides an overview of all figures along with page references
- List of Tables – Provides a list of tables of all tables along with page references

- Referenced Documents – Provides a summary of the relationship of this deliverable to other relevant documents, including the document name, number, and issuance date
- Decision Log – Provides a summary of decisions point and owners
- Assumptions/Constraints/Risks – Describes any assumptions, constraints, and risks regarding the project that impact the deliverable
- Acronyms – Provides a list of all acronyms identified in the deliverable, along with the literal translation and definition

The Offeror shall also develop and submit Deliverable Expectation Documents (DEDs) for all deliverables for NMHIX approval prior to deliverable preparation. The DED shall specify the content description, proposed format, proposed media and number of copies for each deliverable. For those deliverables that are not documents, the DED shall include the proposed format and delivery method.

Status Meetings

The Offeror shall attend status meetings or conference calls on a weekly basis, or more frequently, if necessary. Status meetings will provide updates on project progress as outlined in the weekly status reports. Specifically, weekly status reports shall include:

- Summary of work completed during the previous status reporting period and any results achieved (by relevant WBS elements);
- CMS deliverable milestones;
- Updated (if necessary) project schedule;
- Summary of project budget status (actuals to projected), including project costs, hours and estimates;
- Summary of the proposed tasks and deliverables to be performed during the upcoming status reporting period;
- Analysis of critical issues, including any schedule slippage;
- Risk tracking, assessment, and mitigation strategies as outlined in this RFP;
- Documentation of issue management and change management with recommended CAP;
- Dashboard summary that tabulates data for performance and work remaining on the project, broken down by relevant WBS elements; and,
- NMHIX Board reporting, as requested by NMHIX Executive Director or her agent.

The status meetings shall take place with the NMHIX Project Manager, Executive Director and other NMHIX staff, including NMHIX vendors, as appropriate.

IV&V Contractor Deliverable Review and Acceptance

Upon receipt of a deliverable, the NMHIX Project Manager shall review the deliverable to validate completeness and quality in meeting requirements. The NMHIX Project Manager shall issue to the IV&V Service Provider notice of acceptance or rejection of the deliverables. The quality of IV&V deliverables shall take precedence over the IV&V project schedules. In the event of deliverable rejection, the IV&V Service Provider shall correct the identified deficiencies or non-conformities within five working days from rejection. At the discretion of NMHIX's Project Manager, subsequent project tasks may not continue until deficiencies are rectified and the deliverable is formally accepted by the Contract Monitor as provided herein.

3.5. IV&V Standards

Applicable tasks and activities will be performed in accordance with the Institute of Electrical and Electronics Engineers (IEEE) Standard 1012-2012. The IV&V Contractor will also use all other applicable, lifecycle-appropriate IEEE Standards (e.g., 12207 Software Life Cycle Process; 703 Software QA Plans; 1074 Developing Software Project Lifecycle Process; 828 Configuration Management Plans; and, 830 Requirement Specifications, etc., to name a few) in assessing NMHIX's HIX Project. Further, the IV&V Contractor will employ the Capability Maturity Model Integrated (CMMI), and the PMBOK Third Edition, and the PMBOK - Government Extension, as additional standards by which to assess the HIX Project. Finally, the IV&V Service Provider will validate that all the State and federal standards cited in the IT Vendor RFP and included in section 2.9 of this document such as the MITA Seven Standards and Conditions are fully adhered to by the HIX Project team.

3.6. IV&V Project Tasks

The following section contains lists of individual IV&V activities. All listed activities are mandatory and considered part of this solicitation. The State anticipates that the majority of task activities will be performed in both the Pre-Operational and Operational Readiness review periods, as appropriate, and has provided preliminary guidance on the mapping between tasks and review periods in the chart below. Upon review of the HIX implementation project plan and the schedule for the two separate IV&V review periods (Pre-Operational and Operational Readiness), the Offeror shall make recommendations as to whether any specific tasks should be moved or deferred to a different review period. This task activity assignment will be reviewed and approved by the Contract Monitor.

IV&V Project Management		
TASK ITEM	#	TASK DESCRIPTION
IV&V Management Plan	PM-1	Develop an IV&V Management Plan that describes the activities, personnel, schedule, standards, and methodology for conducting the IV&V reviews.
Conduct Initial Review	PM-2	Prepare and deliver an Initial IV&V report on the required activities. Report on status of each activity.
Conduct Ongoing Review(s)	PM-3	Prepare and deliver weekly IV&V reports on the required activities.
Management Briefing	PM-4	Prepare and deliver a formal presentation(s) on the status of the IV&V project.
Project Sponsorship	PM-5	Assess and recommend improvement, as needed, to assure continuous stakeholder buy-in, participation, support and commitment, and that open pathways of communication exist among all stakeholders.
	PM-6	Verify that NMHIX has bought-in to all changes which impact project objectives, cost, or schedule.
Management Assessment	PM-7	Verify and assess project management and organization, verify that lines of reporting and responsibility provide adequate technical and managerial oversight of the project.
	PM-8	Evaluate project progress, resources, budget, schedules, work flow, and reporting.
Project Management	PM-9	Verify that a Project Management Plan is created and being followed. Evaluate the project management plans and procedures to verify that they are developed, communicated, implemented, monitored and complete.
	PM-10	Evaluate project reporting plans and actual project reports to verify project status is accurately traced using project metrics.
	PM-11	Verify that milestones and completion dates are planned, monitored, and met.

	PM-12	Verify the existence and institutionalization of an appropriate project issue tracking mechanism that documents issues as they arise, enables communication of issues to proper stakeholders, documents a mitigation strategy as appropriate, and tracks the issue to closure. This should include but is not limited to technical and development efforts.
	PM-13	Evaluate the system’s planned life-cycle development methodology or methodologies (waterfall, evolutionary spiral, rapid prototyping, incremental, etc.) to see if they are appropriate for the system being developed
Risk Management	PM-14	Verify that a Project Risk Management Plan is created and being followed.
Change Management	PM-15	Verify that a Change Management Plan is created and being followed. Evaluate the change management plans and procedures to verify they are developed, communicated, implemented, monitored, and complete, and that resistance to change is anticipated and prepared for. Ensure that the change management plan has standard steps to identify, vet, assess impact, and approve / decline the change via a change control board and appropriate sign-offs.
Communication Management	PM-16	Verify that a Communication Plan is created and being followed.
Configuration Management	PM-17	Review and evaluate the configuration management (CM) plans and procedures associated with the development process.
	PM-18	Verify that all critical development documents, including but not limited to requirements, design, code, rule sets, and configurations maintained under an appropriate level of control.
	PM-19	Verify that the processes and tools are in place to identify code versions and to rebuild system configurations from source code.
	PM-20	Verify that appropriate source and object libraries are maintained for training, test, and production and that formal sign-off procedures are in place for approving work products.
	PM-21	Verify that mechanisms are in place to prevent unauthorized changes being made to the system and to prevent authorized changes from being made to the wrong version.

Project Estimating and Scheduling	PM-22	Evaluate and make recommendations on the estimating and scheduling process of the project to ensure that the project budget and resources are adequate for the work-breakdown structure and schedule.
	PM-23	Review schedules to verify that adequate time and resources are assigned for planning, development, review, testing and rework.
Project Personnel	PM-24	Examine the job assignments, skills, training and experience of the personnel involved in program development.
	PM-25	Monitor staff turnover and report on the effectiveness of staff replacement policies for both SI and NMHIX staff and the impacts of staff turnover.
Project Organization	PM-26	Verify that lines of reporting and responsibility provide adequate technical and managerial oversight of the project.
	PM-27	Verify that the project's organizational structure supports training, process definition, independent Quality Assurance, Configuration Management, product evaluation, and any other functions critical for the project's success.
	PM-28	Verify that the obligations of sub-contractors and external staff (terms, conditions, statement of work, requirements, standards, development milestones, acceptance criteria, delivery dates, etc.), if applicable are clearly defined.
	PM-29	Verify that the subcontractors' software development methodology and product standards, if applicable are compatible with the system's standards and environment.
	PM-30	Verify that the subcontractor, if applicable has and maintains the required skills, personnel, plans, resources, procedures and standards to meet their commitment. This will include examining the feasibility of any offsite support of the project
	PM-31	Verify that any proprietary tools used by subcontractors, if applicable do not restrict the future maintainability, portability, and reusability of the system.
NMHIX Oversight	PM-32	Verify that NMHIX oversight is provided in the form of periodic status reviews and technical interchanges.

	PM-33	Verify that NMHIX has defined the technical and managerial inputs the subcontractor(s), if applicable need (reviews, approvals, requirements and interface clarifications, etc.) and has the resources to supply them on schedule.
	PM-34	Verify that NMHIX staff has the ultimate responsibility for monitoring project cost and schedule.

Quality Management		
TASK ITEM	TASK #	TASK DESCRIPTION
Quality Assurance	QA-1	Evaluate and make recommendations on the project's Quality Assurance plans, procedures and organization.
	QA-2	Verify that the QA function has an appropriate level of independence from project management.
	QA-3	Verify that the QA function monitors the fidelity of all defined processes in all phases of the project.
	QA-4	Verify that the quality of all products produced by the project is monitored by formal reviews and sign-offs.
	QA-5	Verify that project self-evaluations are performed and that measures are continually taken to improve the process.
	QA-6	Monitor the performance of the QA function by reviewing its processes and reports and performing spot checks of system documentation; assess findings and performance of the processes and reports.
	QA-7	Verify that QA has an appropriate level of independence; evaluate and make recommendations on the project's Quality Assurance plans, procedures and organization.
	QA-8	Evaluate if appropriate mechanisms are in place for project self-evaluation and process improvement.
Process Definition and Product Standards	QA-9	Review and make recommendations on all defined processes and product standards associated with the system development.
	QA-10	Verify that all major development processes are defined and that the defined and approved processes and standards are followed in development.
	QA-11	Verify that the processes and standards are compatible with each other and with the system development methodology.
	QA-12	Verify that all process definitions and standards are complete, clear, up-to-date, consistent in format, and easily available to project personnel

Training		
TASK ITEM	TASK #	TASK DESCRIPTION
User Training and Documentation	TR-1	Review and make recommendations on the training provided to system users. Verify sufficient knowledge transfer for maintenance and operation of the new system.
	TR-2	Verify that training for users is instructor-led and hands-on and is directly related to the business process and required job skills.
	TR-3	Verify that user-friendly training materials and help desk services are easily available to all users.
	TR-4	Verify that all necessary policy and process and documentation is easily available to users.
	TR-5	Verify that all training is given on-time and is evaluated and monitored for effectiveness, with additional training provided as needed.
Developer Training and Documentation	TR-6	Review and make recommendations on the training provided to system developers.
	TR-7	Verify that developer training is technically adequate, appropriate for the development phase, and available at appropriate times.
	TR-8	Verify that all necessary policy, process and standards documentation is easily available to developers.
	TR-9	Verify that all training is given on-time and is evaluated and monitored for effectiveness, with additional training provided as needed.

Requirements Management		
TASK ITEM	TASK #	TASK DESCRIPTION
Requirements Management	RM-1	Evaluate and make recommendations on the project's process and procedures for managing requirements.
	RM-2	Verify that system requirements are well-defined, understood and documented.
	RM-3	Evaluate the allocation of system requirements to hardware and software requirements.
	RM-4	Verify that software requirements can be traced through design, code and test phases to verify that the system performs as intended and contains no unnecessary software elements.
	RM-5	Verify that requirements are under formal configuration control.
Security Requirements	RM-6	Evaluate and make recommendations on project policies and procedures for ensuring that the system is secure and that the privacy of client data is maintained.
	RM-7	Evaluate the projects restrictions on system and data access.
	RM-8	Evaluate the projects security and risk analysis.
	RM-9	Verify that processes and equipment are in place to back up client and project data and files and archive them safely at appropriate intervals.
Requirements Analysis	RM-10	Verify that an analysis of NMHIX and federal needs and objectives has been performed to verify that requirements of the system are well understood, well defined, and satisfy federal regulations.
	RM-11	Verify that all stakeholders have been consulted to the desired functionality of the system, and that users have been involved in prototyping of the user interface.
	RM-12	Verify that all stakeholders have bought-in to all changes which impact project objectives, cost, or schedule.
	RM-13	Verify that performance requirements (e.g. timing, response time and throughput) satisfy user needs
	RM-14	Verify that user's maintenance requirements for the system are completely specified

Interface Requirements	RM-15	Verify that all system interfaces are exactly described, by medium and by function, including input/output control codes, data format, polarity, range, units, and frequency.
	RM-16	Verify that approved interface documents are available and that appropriate relationships (such as interface working groups) are in place with all agencies and organizations supporting the interfaces.
Requirements Allocation and Specification	RM-17	Verify that all system requirements have been allocated to either a software or hardware subsystem.
	RM-18	Verify that requirements specifications have been developed for all hardware and software subsystems in a sufficient level of detail to ensure successful implementation.
Reverse Engineering	RM-19	If a legacy system or a transfer system is or will be used in development, Verify that a well-defined plan and process for reengineering the system is in place and is followed. The process, depending on the goals of the reuse/transfer, may include reverse engineering, code translation, re-documentation, restructuring, normalization, and re-targeting.

Operating Environment		
TASK ITEM	TASK #	TASK DESCRIPTION
System Hardware	OE-1	Evaluate new and existing system hardware configurations to determine if their performance is adequate to meet existing and proposed system requirements
	OE-2	Determine if hardware is compatible with NMHIX's and the State's (as necessary) existing processing environment, if it is maintainable, and if it is easily upgradeable. This evaluation will include, but is not limited to CPUs and other processors, memory, network connections and bandwidth, communication controllers, telecommunications systems (LAN/WAN), terminals, printers and storage devices.
	OE-3	Evaluate current and projected vendor support of the hardware, as well as the NMHIX's hardware configuration management plans and procedures.
System Software	OE-4	Evaluate new and existing system software to determine if its capabilities are adequate to meet existing and proposed system requirements.
	OE-5	Determine if the software is compatible with NMHIX's existing hardware and software environment (as needed), if it is maintainable, and if it is easily upgradeable. This evaluation will include, but is not limited to, operating systems, middleware, and network software including communications and file-sharing protocols.
	OE-6	Current and projected vendor support of the software will also be evaluated, as well as the NMHIX's software acquisition plans and procedures.
Database Software	OE-7	Evaluate new and existing database products to determine if their capabilities are adequate to meet existing and proposed system requirements.
	OE-8	Determine if the database's data format is easily convertible to other formats, if it supports the addition of new data items, if it is scalable, if it is easily refreshable and if it is compatible with the NMHIX's existing hardware and software, including any on-line transaction processing (OLTP) environment.

	OE-9	Evaluate any current and projected vendor support of the software, as well as the NMHIX's software acquisition plans and procedures.
System Capacity	OE-10	Evaluate the existing processing capacity of the system and verify that it is adequate for current statewide needs for both batch and on-line processing.
	OE-11	Evaluate the historic availability and reliability of the system including the frequency and criticality of system failure.
	OE-12	Evaluate the results of any volume testing or stress testing.
	OE-13	Evaluate any existing measurement and capacity planning program and will evaluate the system's capacity to support future growth.
	OE-14	Make recommendations on changes in processing hardware, storage, network systems, operating systems, COTS software, and software design to meet future growth and improve system performance.

Development Environment		
TASK ITEM	TASK #	TASK DESCRIPTION
Development Hardware	DE-1	Evaluate new and existing development hardware configurations to determine if their performance is adequate to meet the needs of system development.
	DE-2	Determine if hardware is maintainable, easily upgradeable, and compatible with the NMHIX's existing development and processing environment. This evaluation will include, but is not limited to CPUs and other processors, memory, network connections and bandwidth, communication controllers, telecommunications systems (LAN/WAN), terminals, printers and storage devices.
	DE-3	Current and projected vendor support of the hardware will also be evaluated, as well as the NMHIX's hardware configuration management plans and procedures.
Development Software	DE-4	Evaluate new and existing development software to determine if its capabilities are adequate to meet system development requirements.
	DE-5	Determine if the software is maintainable, easily upgradeable, and compatible with the NMHIX's existing hardware and software environment.
	DE-6	Evaluate the environment as a whole to see if it shows a degree of integration compatible with good development. This evaluation will include, but is not limited to, operating systems, network software, CASE tools, project management software, configuration management software, compilers, cross-compilers, linkers, loaders, debuggers, editors, and reporting software.
	DE-7	Language and compiler selection will be evaluated with regard to portability and reusability (ANSI standard language, non-standard extensions, etc.)
	DE-8	Current and projected vendor support of the software will also be evaluated, as well as the States software acquisition plans and procedures.

Software Development		
TASK ITEM	TASK #	TASK DESCRIPTION
High-Level Design	SD-1	Evaluate and make recommendations on existing high level design products to verify the design is workable, efficient, and satisfies all system and system interface requirements.
	SD-2	Evaluate the design products for adherence to the project design methodology and standards.
	SD-3	Evaluate the design and analysis process used to develop the design and make recommendations for improvements. Evaluate design standards, methodology and CASE tools, if applicable used will be evaluated and make recommendations.
	SD-4	Verify that design requirements can be traced back to system requirements.
	SD-5	Verify that all design products are under configuration control and formally approved before detailed design begins.
Detailed Design	SD-6	Evaluate and make recommendations on existing detailed design products to verify that the design is workable, efficient, and satisfies all high level design requirements.
	SD-7	The design products will also be evaluated for adherence to the project design methodology and standards.
	SD-8	The design and analysis process used to develop the design will be evaluated and recommendations for improvements made.
	SD-9	Design standards, methodology and CASE tools, if applicable, used will be evaluated and recommendations made.
	SD-10	Verify that design requirements can be traced back to system requirements and high level design.
	SD-11	Verify that all design products are under configuration control and formally approved before coding begins.
Job Control	SD-12	Perform an evaluation and make recommendations on existing job control and on the process for designing job control.
	SD-13	Evaluate the system's division between batch and on-line processing with regard to system performance and data integrity.

	SD-14	Evaluate batch jobs for appropriate scheduling, timing and internal and external dependencies.
	SD-15	Evaluate the appropriate use of OS scheduling software.
	SD-16	Verify that job control language scripts are under an appropriate level of configuration control.
Code	SD-17	Evaluate and make recommendations on the standards and process currently in place for code development.
	SD-18	Evaluate the existing code base for portability and maintainability, taking software metrics including but not limited to modularity, complexity and source and object size.
	SD-19	Code documentation will be evaluated for quality, completeness (including maintenance history) and accessibility.
	SD-20	Evaluate the coding standards and guidelines and the projects compliance with these standards and guidelines. This evaluation will include, but is not limited to, structure, documentation, modularity, naming conventions and format.
	SD-21	Verify that developed code is kept under appropriate configuration control and is easily accessible by developers.
	SD-22	Evaluate the project's use of software metrics in management and quality assurance.
	SD-23	Evaluate custom and COTS software for the ability to manage business rules and user workflows through end-user configurable tools verses coding changes
Configuration and Rules	SD-24	Evaluate the process for updating rule sets and configurations in a sustainable and auditable manner
	SD-25	Evaluate the overall plan for maintaining product configurations and rules. Evaluate the framework used for categorizing HIX work products into various categories of reuse by other states inclusive of clear pre-requisites for re-usable components (e.g. purchase of COTS software licenses, similar underlying technology stack, etc.)
Reuse and Shared Services	SD-26	Evaluate the process for developing agreements with other States in reusing NMHIX software components
	SD-27	Evaluate the implementation of shared services with other States

Unit Test	SD-28	Evaluate the plans, requirements, environment, tools, and procedures used for unit testing system modules.
	SD-29	Evaluate the level of test automation, interactive testing and interactive debugging available in the test environment.
	SD-30	Verify that an appropriate level of test coverage is achieved by the test process, that test results are verified, that the correct code configuration has been tested, and that the tests are appropriately documented.

System And Acceptance Testing		
TASK ITEM	TASK #	TASK DESCRIPTION
System Integration Test	ST-1	Evaluate the plans, requirements, environment, tools, and procedures used for integration testing of system modules.
	ST-2	Evaluate the level of automation and the availability of the system test environment.
	ST-3	Verify that an appropriate level of test coverage is achieved by the test process, that test results are verified, that the correct code configuration has been tested, and that the tests are appropriately documented, including formal logging of errors found in testing.
	ST-4	Verify that the test organization has an appropriate level of independence from the development organization.
Interface Testing	ST-10	Evaluate interface testing plans and procedures for compliance with industry standards.
Acceptance and Turnover	ST-11	Acceptance procedures and acceptance criteria for each product must be defined, reviewed, and approved prior to test and the results of the test must be documented. Acceptance procedures must also address the process by which any software product that does not pass acceptance testing will be corrected.
	ST-12	Verify that appropriate acceptance testing based on the defined acceptance criteria is performed satisfactorily before acceptance of software products.
	ST-13	Verify that the acceptance test organization has an appropriate level of independence from the contractor.
	ST-14	Verify that training in using the contractor-supplied software is be on-going throughout the development process, especially If the software is to be turned over to State staff for operation.
	ST-15	Review and evaluate implementation plan.

Data Management		
TASK ITEM	TASK #	TASK DESCRIPTION
Data Conversion	DM-1	Evaluate NMHIX's existing and proposed plans, procedures and software for data conversion.
	DM-2	Verify that procedures are in place and are being followed to review the completed data for completeness and accuracy and to perform data clean-up as required.
	DM-3	Determine conversion error rates and if the error rates are manageable.
	DM-4	Make recommendations on making the conversion process more efficient and on maintaining the integrity of data during the conversion.
Database Design	DM-5	Evaluate new and existing database designs to determine if they meet existing and proposed system requirements.
	DM-6	Recommend improvements to existing designs to improve data integrity and system performance.
	DM-7	Evaluate the design for maintainability, scalability, refreshability, concurrence, normalization (where appropriate) and any other factors affecting performance and data integrity.
	DM-8	Evaluate the project's process for administering the database, including backup, recovery, performance analysis and control of data item creation.

Operations and Maintenance		
TASK ITEM	TASK #	TASK DESCRIPTION
Systems Operations	OM-1	Evaluate NMHIX’s existing and proposed plans and procedures for systems operations and performance monitoring
	OM-2	Verify that procedures are in place and are being followed to track performance metrics according to established systems service level agreements
	OM-3	Verify that procedures are in place for systems monitoring, security, back-up, and recovery including disaster recovery and business continuity
	OM-4	Determine whether system administration roles and responsibilities are clearly defined and staff levels are adequate to perform systems operations and achieve operational service levels
	OM-5	Make recommendations on bolstering systems maintenance procedures to ensure that service levels are met.
Systems Maintenance	OM-6	Evaluate the State’s existing and proposed plans, procedures and software for systems maintenance
	OM-7	Verify that procedures are in place and are being followed to manage issues, defects, and risks from initial capture through resolution and disposition
	OM-8	Determine whether system maintenance roles and responsibilities are clearly defined and staff levels are adequate to achieve maintenance activities
	OM-9	Verify that the software maintenance agreements are in place with the COTS vendors and that the support provided by those vendors conforms to licensing and software maintenance agreements and are adequate to support Maryland’s software maintenance needs
	OM-10	Make recommendations on optimizing systems maintenance activities ensuring that performance targets are met and risks to operations are minimized
	OM-11	Evaluate the Vendor’s existing and proposed plans for applying the latest COTS products and releases to NMHIX

Systems Enhancements/ Upgrades	OM-12	Verify that the Vendor has adequate technical environments in place to support development, testing, production staging, production operations, etc. as well as adequate processes and procedures to manage those environments
	OM-13	Determine whether systems enhancements and upgrades roles and responsibilities are clearly defined and that staff levels or the ability to bring in as-needed contract support are adequate to perform necessary software enhancements and upgrades with minimum business operations disruption
	OM-14	Make recommendations on optimizing the process for applying systems enhancements and upgrades to minimize risk to business operations

3.7. IV&V Project Deliverables

The following table identifies the anticipated work products that the successful IV&V Contractor will produce under the resultant IV&V contract. All the task activities listed in Section 4.6 should be addressed comprehensively within these work products. NMHIX reserves the right to request additional analyses, as needed. Likewise, the IV&V Offeror may propose the development of additional work products in specific areas. NMHIX must authorize in advance the development of any additional work products.

Where applicable, the deliverable must be developed in accordance with standards utilized by the HIX IT and PMO vendors. When no applicable standard exists, the methodology and processes used in the analysis and creation of the deliverable must be delivered to the Exchange prior to its use, and described in the final deliverable. All work products, standards, processes, plans, and applicable reference materials will be made available upon request of the Exchange.

Copies of all work products will be delivered to NMHIX’s Contract Manager. Frequencies of work products are provided in the table below, and must be followed unless otherwise changed by the IT Director. The NMHIX’s IT Director reserves the right to modify schedules as seen fit. The Exchange reserves the right to extend the due date if appropriate, due to document size, schedule or changes in scope. The IV&V Service Provider must notify the Exchange of an anticipated delay of a deliverable, within one business day of identifying a delay.

On the following pages you will find a description of expected deliverables as part of this project. Payment will be tied directly to submission and approval of deliverables. Here are the deliverables expected as part of this project:

Deliverables	Quantity	Deliverables	Quantity
Project Kick-Off	1	Monthly IV&V Report	8
Develop Management Plan	1	IV&V Reports - Due 2 weeks prior to date of CCIIO mtg	2
IV&V Review Checklist	1	Debriefing presentation at CCIIO Mtg	2
Initial Review Report	1	Final IV&V Review Report	1
Weekly Status Report	44*	Archive Documents	3

**Assumes weekly status reports starting the first full week in March. This is a maximum number of weekly status reports through the end of December 2014.*

Below is an estimate of the project’s timeline. Estimated deliverable due dates are noted. This is subject to change, but should be used for scheduling and pricing purposes.

Deliverables	February	March	April	May	June	July	August	September	October	November	December
NMHIX Events	Contract Signed, end of month				CCIIO Final Design Review		CCIIO Operational Readiness Review				
IV&V Project Kick-Off	x										
Develop Management Plan		x									
IV&V Review Checklist		x									
Initial Review Report		x									
Weekly Status Report			x	x	x	x	x	x	x	x	x
Monthly IV&V Report			x	x		x		x	x	x	
IV&V Reports - Due 2 weeks prior to date of CCIIO mtg					x		x				
Debriefing presentation at CCIIO Mtg					x		x				
Final IV&V Review Report											x
Archive Documents					x			x			x

Description of IV&V Deliverables			
TASK	WORK PRODUCT	FREQUENCY	DESCRIPTION AND TIMING
IV&V Project Kick-Off	<ul style="list-style-type: none"> • IV&V Kick-Off Meeting • Presentation Slides • Stakeholder Contact Information Sheet • IV&V Project Team Contract Sheet 	Once, within 10 business days of contract execution	<p>The purpose of this meeting is to educate and obtain buy-in from participants in the IV&V process. The meeting shall accomplish the following:</p> <ul style="list-style-type: none"> a. Define roles and responsibilities; b. Establish logistical details and communication expectations; and, c. Clarify IV&V tasks and time frames. <p>The IV&V Contractor shall facilitate the meeting, providing an agenda, sign-in sheet, presentation, and other relevant materials for the meeting to the Project Manager in advance. The following topics, at a minimum will be discussed:</p> <ul style="list-style-type: none"> I. Roles & Responsibilities II. IV&V Processes III. IV&V Methodology IV. IV&V Objectives V. IV&V Schedule VI. Documentation Needs <p>Prior to and in preparation for the kick-off meeting, the IV&V Contractor shall provide a draft copy of the kick-off materials, begin independent research for the IV&V and obtain pertinent project documents and information from the NMHIX Project Manager.</p>
Develop IV&V Management Plan	IV&V Management Plan	Once, within 10 business days of the contract execution	<p>To be initially delivered within the first ten (10) business days from the date of contract award, and updated monthly. The IV&V Management Plan shall contain the following:</p> <ul style="list-style-type: none"> a. Resumes of all Key IV&V Contractor personnel;

			<p>b. A schedule describing the - IV&V Review periods, including tasks, activities, work products, and milestones, and will show the schedule's critical path reflecting both IV&V Contractor's and NMHIX 's delivery and response milestones;</p> <p>c. An organization chart reflecting the IV&V Contractor's team, including the team's place within the IV&V Contractor's corporate structure, and providing the key names, addresses and other contact information to be used for dispute resolution and customer feedback;</p> <p>d. A narrative description of all work products, including expected format, content, and organization, to be developed and delivered during the next two IV&V Reviews; and,</p> <p>e. As Appendices, all applicable, Project lifecycle-appropriate IV&V Checklists to be utilized during the next two IV&V Reviews.</p>
Develop IV&V Review Checklists	IV&V Checklists	Once, within 10 business days of the contract execution	The IV&V Checklists shall be presented in Question and Answer format, and will cover the elements to be reviewed, observed, monitored, and commented on, with regard to all aspects of industry standards for Project Management, Software and Systems Development, and Engineering disciplines as found in IEEE, CMI, and PMBOK industry standards, at a minimum.
Initial IV&V Review Report	Initial IV&V Review Report (Draft and Final)	March	<p>The Initial IV&V Review period will commence within ten (10) calendar days from the date of contract award. This portion of the Initial IV&V Review will include the following activities:</p> <p>a. Submit to IV&V Project Manager a schedule of review activities;</p>

			<p>b. Submit to IV&V Project Manager a list of Project Team and Stakeholder interviews to be performed, documentation required to review; and;</p> <p>c. Submit to IV&V Project Manager a list of Project Documentation to be provided for IV&V Contractor review, and</p> <p>d. Submit to IV&V Project Manager a list of Project Meetings, etc., to be attended and observed by the IV&V Contractor.</p> <p>Upon completion of the initial review, the IV&V Contractor will review and analyze collected Project artifacts and draft the Initial IV&V Review Report. If prior to the Review report draft completion, the IV&V finds severe risks (high probability / high impact), the IV&V Contractor shall notify the Project Manager accordingly.</p> <p>This Initial IV&V Review Report (Draft Version) will be delivered to the IV&V Contract Manager thirty (30) calendar days after the start of the Initial IV&V Review. If prior to the Review report draft completion, the IV&V finds severe risks (high probability / high impact), the IV&V Contractor shall notify the Project Manager accordingly.</p> <p>NMHIX comments to the Draft Version of the Initial IV&V Review Report will be returned to the IV&V Contractor within five (5) calendar days of receipt of the Draft Version of the Initial IV&V Review Report.</p>
<p>Prepare and deliver Weekly Status Reports.</p>	<p>Contract Status Reporting To IV&V Project Manager.</p>	<p>Monthly</p>	<p>The IV&V Contractor shall participate in and prepare dashboard status reports for the NMHIX Weekly Status Updates. These updates are led by the NMHIX's PMO vendor. The dashboard reports shall provide information related to the current status of the project, accomplishments</p>

			over the prior week, work products and expectations for the coming week, and highlights of areas of focus or concern by the IV&V Contractor.
Monthly IV&V Review Report	Monthly IV&V Review Report (Draft and Final)	Drafts to be delivered Monthly; Final drafts to be delivered weeks prior to all CCIIO Reviews	<p>The IV&V Contractor shall provide the NMHIX with monthly reports detailing the status of the project. Details are found below and may be further amended based on conversations with the NMHIX. During months when there is a scheduled CCIIO Review Meeting, the IV&V Contractor shall produce reports for use during these reviews. In months when no CCIIOO review meeting is scheduled the IV&V contractor shall provide a report for NMHIX review.</p> <p>These reports shall be an ongoing review of the NMHIX HIX project progress. To the extent the following activities are not covered under the initial review, the IV&V Service Provider shall, as necessary:</p> <ul style="list-style-type: none"> a. Submit to IV&V Project Manager a schedule of review activities; b. Submit to IV&V Project Manager a list of Project Team and Stakeholder interviews to be performed, documentation required to review; c. Submit to IV&V Project Manager a list of Project Documentation to be provided for IV&V Contractor review; and, d. Submit to IV&V Project Manager a list of Project Meetings, etc., to be attended and observed by the IV&V Contractor.

		<p>If a Corrective Action Plan (CAP) is necessary, the IV&V Contractor will develop a Corrective Action Plan (CAP) that includes the following elements:</p> <ul style="list-style-type: none"> a. The table of deficiencies and recommended corrective actions from the IV&V Final Findings Report; b. A breakdown of planned NMHIX tasks and time frames to implement each recommended corrective action; c. A breakdown of planned IV&V Service Provider tasks and time frames for providing IV&V On-Site Assistance <p>A Monthly IV&V Review Report (Draft Version) will be delivered to the IV&V Project Manager by the 15th of each month, or the first workday immediately following the 15th, if the 15th falls on a weekend or holiday. NMHIX comments to the Draft Version of the Periodic IV&V Review Report will be returned to the IV&V Service Provider within five (5) calendar days of receipt of the Draft Version of the Monthly IV&V Review Report.</p> <p>The IV&V Contractor will correct errors of fact or omission to the Draft Version of the Monthly IV&V Review Report, and append to the Draft Version all other State comments, and redeliver the Monthly IV&V Review Report within five (5) calendar days from receipt of NMHIX's comments, marked as Final to the IV&V Project Manager.</p>
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Prepare and deliver Presentations to CCIOO and NMHIX	Formal debriefing presentation(s) to the HIX project, NMHIX, DHW, DOI, CMCS and CCIO on the IV&V Review Report.	As scheduled, preliminarily in June and August	The IV&V Contractor will prepare and deliver a presentation related to the latest IV&V Review Report's results to NMHIX. A draft version of the presentation must be submitted to the NMHIX one week prior to the CCIOO Review meeting. The IV&V Contractor is expected to be on-site during these CCIOO meetings. This may be in the NMHIX Offices or at other locations, to be determined by CCIOO.
Archive Documents	Periodic Archive Creation and Delivery of all project artifacts and research materials and contract work products	Quarterly, due 5 business days after the end of the quarter	Prepare a complete a portable media (e.g. CD-ROM, Flash Drive) archive of all IV&V Documents including draft and final reports, status briefings, exception reports, all versions of the Project Management Plan, Deliverable Observation Review (DOR) Reports, Monthly (Financial) Invoicing, Project Status Reports, and all project materials, documentation, artifacts, data, reports, forms, etc., collected by the IV&V Contractor during the course of their latest IV&V Review. This complete archive is to be submitted with the respective final invoice for the IV&V Review period in question.
IV&V Assistance	IV&V Assistance	Ad hoc	The IV&V service provider will provide assistance to NMHIX toward implementing corrective actions identified in the CAP. A breakdown of planned IV&V Contractor tasks and time frames for providing assistance shall be provided. Assistance may include but not be limited to technical assistance, SDLC documentation writing / editing, training or mentoring on project management best practices, or other corrective action support tasks agreed to by the Agency.
Prepare Final IV&V Review Report	Final IV&V Report	Due in December, at end of contract period	A final IV&V Review Report (Draft Version) will be delivered to the IV&V Project Manager by a date commensurate with the scheduled

		<p>Operational Readiness review by CCIIO.</p> <p>NMHIX comments to the Draft Version of the Initial IV&V Review Report will be returned to the IV&V Contractor within five (5) calendar days of receipt of the Draft Version of the Initial IV&V Review Report.</p> <p>The IV&V Contractor will correct errors of fact or omission to the Draft Version of the Initial IV&V Review Report, and append to the Draft Version all other NMHIX comments, and redeliver the Initial IV&V Review Report, marked as Final to the NMHIX within five (5) calendar days of receipt of NMHIX's comments. This Final Version of the Initial IV&V Review Report deliverable concludes the Final IV&V Review for the Operational Readiness Review period.</p>
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For each validation area described in section 4.6, the IV&V Offeror should include in its monthly report the current state of NMHIX's effort, including any pertinent historical background information. The report should also contain a detailed analysis of each area, which answers, at the least, the following general questions:

- What is NMHIX's current process in this area?
- In what respect is NMHIX's process or technology effective or appropriate?
- In what respect does NMHIX's process or technology needs improvement?
- What are the risks to the project and how should NMHIX respond to each risk?
- Is NMHIX making measurable progress in this area?
- Is the effort within the triple constraints of budget, scope, and schedule?
- What standards is the project following (State, industry [IEEE, SEI, ISO, etc..]) internally?
- Are the appropriate documentation and other project artifacts accurate and up-to-date?
- Is there adequate Stakeholder involvement in the Project?
- Are best practices and metrics employed to identify issues, progress, and performance?

Responses should be quantified whenever possible. The report should also contain detailed recommendations in each area specifying what can be done immediately and in the long term to

improve NMHIX's operation. The report should also include a table of risks, recommend responses, and estimated time frames for implementing responses. Any technologies, methodologies, or resources recommended should reflect industry standards and be appropriate for the unique circumstances and constraints of the HIX Project. The recommendations should also specify a method of measuring NMHIX's progress against the recommendations.

3.8. Minimum Standard to IV&V Report Requirements

Final written deliverables shall not contain structural errors such as poor grammar, misspellings, or incorrect punctuation, and must:

- A. Be presented in a format appropriate for the subject matter and depth of discussion;
- B. Be organized in a manner that presents a logical flow of the deliverable's content; and,
- C. Be based upon relevant, factual information that is current and accurate at the time of submittal.

4. GENERAL CONTRACTUAL INFORMATION

4.1. NMHIX's Responsibilities

1. NMHIX shall make all files and records accessible to the Contractor, on site.
2. NMHIX shall provide assistance to the Contractor, namely, gathering supporting documentation from the files and preparing schedules.
3. NMHIX shall make appropriate personnel available for interviews and information-gathering purposes.

4.2. The Contractor's Responsibilities

1. Perform all duties included in this RFP.

4.3. Payment for Services

Payment Procedures

Payment is predicated upon completion of the described work and delivery of the required documentation.

Invoices must be signed, by an individual authorized to legally bind the Contractor, and submitted to the NMHIX CFO with adequate supporting documentation, including but not limited to the following:

- a. The Contractor's invoice number
- b. NMHIX's personal service contract number
- c. "Remit to" address
- d. Description of the services performed
- e. Deliverables submitted and approved

Method of Payment

After appropriate review and approval of the audit firm's Final Report, NMHIX shall process such invoices for payment. Every reasonable effort shall be made to provide payment to the Contractor within 30 days after receipt and approval of a properly supported invoice.

The chosen Contractor may invoice the NMHIX monthly for all deliverables submitted and approved by the NMHIX in the prior month.

4.4. Modifications to Statement of Work

Any modifications to the statement of work shall be thoroughly discussed with the selected Contractor and agreed to in contract form by the Offeror and NMHIX prior to implementation. If necessary, the contract amount shall be amended to reflect such modification.

5. TECHNICAL PROPOSAL

5.1. Responsiveness

In order to be considered, the proposal submitted by a Offeror must be completely responsive to this RFP. All conditions printed on the RFP are hereby made a part of the conditions under which the proposal is submitted and shall be incorporated, in whole or in part at NMHIX's discretion, into any contract on this project. Further, the contents of a proposal, in whole or in part at NMHIX's discretion, shall become part of any contract resulting from that proposal. Failure of a Offeror to accept these obligations may result in disqualification from the procurement process.

5.2. Format of the Technical Proposal

The technical proposal shall respond completely to the requirements stated in this section. In order to permit effective comparisons of competing proposals, the following format shall be adhered to:

Section Number	Section Title
1	Title Page – Include name of the Offeror, local address, telephone number, fax number, email address (if any), name of contact person, and date.
2	Table of Contents – Clearly identify the material by section and page number
3	Transmittal Letter—In the form of a standard business letter and shall be signed by an individual authorized to legally bind the Offeror. It shall include the following: <ul style="list-style-type: none">a) A statement indicating the Offeror is a corporation or other legal entity.b) A statement that no attempt has been made or shall be made by the Offeror to induce any other person or an Offeror to submit or not to submit a proposal.c) A statement of affirmative action that the Offeror does not discriminate in its employment practices because of race, color, religion, age (except as provided by law), sex, marital status, political affiliation, national origin, or persons with disabilities. In addition, the Offeror shall provide a statement of compliance with the requirements of Title VI of the Civil Rights Act of 1964.
4	Offeror Qualifications

	<p>a) The Offeror’s Background and Experience: The details of the Offeror’s background and experience shall cover the following:</p> <ol style="list-style-type: none"> (1) Date the Offeror was established. (2) Location of the Offeror’s clientele (local, regional, national, or international). (3) Total number of professional staff. (4) Provide a listing and description of all firm-wide experience during the last three consecutive calendar years in working on similar types of IV&V projects: (5) Provide a minimum of three references for IV&V projects included above. The reference should include the individuals name, title, organization, email address, and telephone number. <p>b) Individual Staff Qualifications</p> <ol style="list-style-type: none"> (1) Provide a brief biographical sketch describing the qualifications of each project member. Include the auditor’s current office location – preference may be given to Albuquerque-based staff. (2) Include a proposal organizational chart. <p>c) Work Plan and Approach –</p> <ol style="list-style-type: none"> (1) Provide the proposed work plan including phases and detailed steps needed to complete all activities requested in this RFP. Include estimated effort (in hours) needed to complete each task. (2) Provide a narrative explanation of the approach to this engagement, including approaches to effectively working with the NMHIX, GetInsured (HIX IT vendor), and PCG (the PMO). (3) Provide at least one example of a template to be used as the IV&V Report. <p>d) Cost Proposal— Include the table shown in Section 6.1 and a brief narrative explanation for how the Offeror arrived at the budget.</p>
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5.3. Deviation from Specifications

If the technical proposal deviates from the detailed specifications and requirements of this RFP, the transmittal letter shall identify and explain these deviations. NMHIX reserves the right to reject any proposal containing such deviations or to require modifications before acceptance.

5.4. Proposal Submission

To be considered for contract award, 10 copies of the technical proposal (which includes the Cost Proposal) must be at the office of NMHIX offices at 6301 Indian School Road NE, Suite 100, Albuquerque, NM 87110, addressed to the Procurement Administrator by 3 p.m. MST on February 21, 2014. Offeror must include a CD or flash drive with a digital copy of the proposal. Proposals submitted via email, fax, or any other form of communication will be rejected.

6. COST PROPOSAL

6.1. Cost Proposal

The NMHIX will measure and pay for these IV&V services based on the deliverables outlined in this RFP. The NMHIX requests that Offerors provide costs according to the template provided below.

Deliverable		Quantity (# Units)	Cost Per "Unit"	Total Cost	Estimated Effort (in Hours)**
1	Project Kick-Off	1		\$ -	
2	Develop Management Plan	1		\$ -	
3	IV&V Review Checklist	1		\$ -	
4	Initial Review Report	1		\$ -	
5	Weekly Status Report	44		\$ -	
6	Monthly IV&V Report	8		\$ -	
7	IV&V Reports - Due 2 weeks prior to date of CCIIO mtg	2		\$ -	
8	Debriefing presentation at CCIIO Mtg	2		\$ -	
9	Archive Documents	3		\$ -	
10	Final IV&V Review Report*	1		\$ -	
				\$ -	

***Note: The Final IV&V Review Report must account for 33% of the total proposed amount.**

**** Estimated hours to provide NMHIX with an idea of resources and efforts. Not to be used in pricing.**

Ad hoc services

Provide an all-inclusive hourly rate for ad hoc IV&V services

All proposed costs shall be inclusive of all Offeror costs, including staffing, fringe and other overhead, travel, and other expenses.

6.2. Deviation from Specifications

If the cost proposal deviates from the specifications and requirements of this RFP, the transmittal letter shall identify and explain these deviations. NMHIX reserves the right to reject any proposal containing such deviations or to require modifications before acceptance.

6.3. Submission of Cost Proposal

The Cost Proposal should be submitted as part of the Technical Proposal, as shown in Section 5.4.

7. EVALUATION

7.1. Overall Evaluation Criteria

The proposals shall be evaluated by a RFP committee, appointed by the Procurement Officer.

7.2. Evaluation of the Technical Proposal

Each technical proposal will be evaluated in the following categories. The maximum number of points available in each category is shown beside that category below:

Offeror's Background and Experience	30 points
Individual Staff Qualifications	20 points
Work Plan and Audit Approach	20 points
<u>Cost</u>	<u>30 points</u>
TOTAL	100 points

The Procurement Administrator will determine the method for proposal evaluation to be followed by the Evaluation Committee. The Evaluation Committee will make a recommendation to the IT Committee of the Board of Directors. Once approved by the IT Committee of the Board of Directors the Offeror will be notified of the Intent to Award the contract to that Offeror.