



STATE OF ALASKA
Department of Health and Social Services
Division of Juvenile Justice
350 Main Street, Room 6
Juneau, AK 99811

Request For Proposals

RFP Number 0614-107

Date of Issue: August 1, 2014

Title and Purpose of RFP: Alaska Birth Defects Registry System (webABDR)

The Alaska Birth Defects Registry (ABDR) is a public health surveillance system mandated by Alaska Statute 7 AAC 27.012. This project will replace the current Registry database with a web-based software application that will allow providers to more conveniently report data electronically through the internet in an approved, secure manner. The vendor will host the data in a secure location off-site and provide ongoing maintenance and technical support.

Offerors Are Not Required To Return This Form.

Important Notice: If you received this solicitation from the State of Alaska's "Online Public Notice" web site, you must register with the procurement officer listed in this document to receive subsequent amendments. Failure to contact the procurement officer may result in the rejection of your offer.

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Department of Health and Social Services
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1. SECTION ONE

INTRODUCTION AND INSTRUCTIONS

1.01 Return Mailing Address, Contact Person, Telephone, Fax Numbers and Deadline for Receipt of Proposals

Offerors must submit an original and four (4) unbound copies of their proposal, in writing, in a sealed envelope to the procurement officer. **Submit only one Cost Proposal in a separate, sealed envelope. No portion of the cost proposal shall be included within the body of the proposal.**

Include with your proposal packet a CD containing electronic copies of the Proposal and Cost Proposal as separate documents. Electronic documents should be no larger than 5MB each. Submissions must be addressed as follows:

Department of Health and Social Services
Division of Public Health
Attention: Anne Vander Naald
Request for Proposal (RFP) Number: **0614-107**
Alaska Birth Defects Registry System (webABDR)
350 Main Street, Room 6
Juneau, AK 99811

Proposals must be received no later than **4:00 P.M., Alaska Time on August 22, 2014**. Fax proposals are not acceptable. Oral proposals are not acceptable.

An offeror's failure to submit its proposal prior to the deadline will cause the proposal to be disqualified. Late proposals or amendments will not be opened or accepted for evaluation.

Important Note: There is no overnight express mail delivery to Juneau, Alaska. Expedited mail service takes at least two nights.

PROCUREMENT OFFICER: **Anne Vander Naald** – PHONE **907-465-4515** - FAX **907-465-6421**

1.02 Contract Term and Work Schedule

The contract term and work schedule set out herein represents the State of Alaska's best estimate of the schedule that will be followed. If a component of this schedule, such as the opening date, is delayed, the rest of the schedule will be shifted by the same number of days.

The length of the contract will be twelve months from the date of award.

Unless otherwise provided in this RFP, the State and the successful offeror/contractor agree: (1) that any holding over of the contract will be considered as a month-to-month extension, and all other terms and conditions shall remain in full force and effect and (2) to provide written notice to the other party of the intent to cancel such month-to-month extension at least 30-days before the desired date of cancellation.

The approximate contract schedule is as follows:

- Issue RFP **August 1, 2014**
- Deadline for Receipt of Questions **August 11, 2014**
- Deadline for Receipt of Proposals **August 22, 2014**
- Proposal Evaluation Committee(s) complete evaluation by approximately **September 1, 2014**

- State of Alaska issues Notice of Intent to Award a Contract **September 1, 2014**

(Minimum period between issuing Notice of Intent and issuing contract is 10 days - to allow time for protests.)

- State of Alaska issues contract **September 12, 2014**

1.03 Purpose of the RFP

The Department of Health and Social Services, Division of Public Health, is soliciting proposals for developing and operating a web-based software application for hosting the Alaska Birth Defects Registry (ABDR). The application receives and transmits protected health information (PHI).

The ABDR is a passive surveillance system that relies on physicians, hospitals and other healthcare facilities and providers to voluntarily report the names of children who may have specific conditions.

The Alaska Birth Defects Registry is the data source for statistical information and epidemiological analyses that are essential to monitor health status, to identify health problems, to inform the public, and to evaluate the effectiveness of current health programs and initiatives.

The Section of Women's, Children's and Family Health (WCFH) Epidemiology staff operates the registry under Alaska Statute 7 AAC 27.012 (5).

1.04 Budget

Department of Health and Social Services, Division of Public Health, estimates a budget of \$200,000.00 dollars for completion of this project. Proposals priced at more than \$200,000.00 will be considered non-responsive.

1.05 Location of Work

The location of work performed, completed and managed is at the contractor's discretion, within the United States. By signature on their proposal, the offeror certifies that all services provided under this contract by the contractor and all subcontractors shall be performed in the United States. If the offeror cannot certify that all work will be performed in the United States, the offeror must contact the procurement officer in writing to request a waiver at least 10 days prior to the deadline for receipt of proposals. The request must include a detailed description of the portion of work that will be performed outside the United States, where, by whom, and the reason the waiver is necessary. Failure to comply with this requirement or to obtain a waiver may cause the state to reject the proposal as non-responsive, or cancel the contract.

The contractor should include in their proposal transportation, lodging, and per diem costs sufficient to pay for 2 person(s) to make 3 trip(s) to Anchorage, Alaska. The state will provide workspace for the contractor while on-site, but it will not include a connection to any network or the internet. Travel to other locations will not be required.

1.06 Human Trafficking

By signature on their proposal, the offeror certifies that the offeror is not established and headquartered or incorporated and headquartered in a country recognized as Tier 3 in the most recent United States Department of

State's Trafficking in Persons Report.

The most recent United States Department of State's Trafficking in Persons Report can be found at the following website: <http://www.state.gov/g/tip/>

Failure to comply with this requirement will cause the state to reject the proposal as non-responsive, or cancel the contract.

1.07 Assistance to Offerors with a Disability

Offerors with a disability may receive accommodation regarding the means of communicating this RFP or participating in the procurement process. For more information, contact the procurement officer no later than ten days prior to the deadline for receipt of proposals.

1.08 Required Review

Offerors should carefully review this solicitation for defects and questionable or objectionable material. Comments concerning defects and objectionable material must be made in writing and received by the procurement officer at least ten days before the proposal opening. This will allow issuance of any necessary amendments. It will also help prevent the opening of a defective solicitation and exposure of offeror's proposals upon which award could not be made. Protests based on any omission or error, or on the content of the solicitation, will be disallowed if these faults have not been brought to the attention of the procurement officer, in writing, at least ten days before the time set for opening.

1.09 Questions Received Prior to Opening of Proposals

All questions must be in writing and directed to the issuing office, addressed to the procurement officer. The interested party must confirm telephone conversations in writing. **No further questions will be allowed after 1:30 pm Alaska time on August 11, 2014.** Send questions to anne.vander-naald@alaska.gov.

Two types of questions generally arise. One may be answered by directing the questioner to a specific section of the RFP. These questions may be answered over the telephone. Other questions may be more complex and may require a written amendment to the RFP. The procurement officer will make that decision.

1.10 Amendments

If an amendment is issued, it will be provided to all who were mailed a copy of the RFP and to those who have registered with the procurement officer as having downloaded the RFP from the State of Alaska Online Public Notice web site.

1.11 Alternate Proposals

Offerors may only submit one proposal for evaluation.

In accordance with 2 AAC 12.830 alternate proposals (proposals that offer something different than what is asked for) will be rejected.

1.12 Right of Rejection

Offerors must comply with all of the terms of the RFP, the State Procurement Code (AS 36.30), and all applicable local, state, and federal laws, codes, and regulations. The procurement officer may reject any proposal that does not comply with all of the material and substantial terms, conditions, and performance requirements of the RFP.

Offerors may not qualify the proposal nor restrict the rights of the state. If an offeror does so, the procurement officer may determine the proposal to be a non-responsive counter-offer and the proposal may be rejected.

Minor informalities that:

- do not affect responsiveness;
- are merely a matter of form or format;
- do not change the relative standing or otherwise prejudice other offers;
- do not change the meaning or scope of the RFP;
- are trivial, negligible, or immaterial in nature;
- do not reflect a material change in the work; or
- do not constitute a substantial reservation against a requirement or provision;

may be waived by the procurement officer.

The state reserves the right to refrain from making an award if it determines that to be in its best interest.

A proposal from a debarred or suspended offeror shall be rejected.

1.13 State Not Responsible for Preparation Costs

The state will not pay any cost associated with the preparation, submittal, presentation, or evaluation of any proposal.

1.14 Disclosure of Proposal Contents

All proposals and other material submitted become the property of the State of Alaska and may be returned only at the state's option. AS 40.25.110 requires public records to be open to reasonable inspection. All proposal information, including detailed price and cost information, will be held in confidence during the evaluation process and prior to the time a Notice of Intent to Award is issued. Thereafter, proposals will become public information.

Trade secrets and other proprietary data contained in proposals may be held confidential if the offeror requests, in writing, that the procurement officer does so, and if the procurement officer agrees, in writing, to do so. Material considered confidential by the offeror must be clearly identified and the offeror must include a brief statement that sets out the reasons for confidentiality.

1.15 Subcontractors

Subcontractors may be used to perform work under this contract. If an offeror intends to use subcontractors, the offeror must identify in the proposal the names of the subcontractors and the portions of the work the subcontractors will perform.

If a proposal with subcontractors is selected, the offeror must provide the following information concerning each prospective subcontractor within five working days from the date of the state's request:

- (a) complete name of the subcontractor;
- (b) complete address of the subcontractor;

- (c) type of work the subcontractor will be performing;
- (d) percentage of work the subcontractor will be providing;
- (e) evidence that the subcontractor holds a valid Alaska business license; and
- (f) a written statement, signed by each proposed subcontractor that clearly verifies that the subcontractor is committed to render the services required by the contract.
- (g) a written statement, signed by each proposed subcontractor indicating whether or not the firm or any individuals working on the contract has a possible conflict of interest (per Section 1.18).

An offeror's failure to provide this information, within the time set, may cause the state to consider their proposal non-responsive and reject it. The substitution of one subcontractor for another may be made only at the discretion and prior written approval of the project director.

1.16 Joint Ventures

Joint ventures will not be allowed.

1.17 Offeror's Certification

By signature on the proposal, offerors certify that they comply with the following:

- (a) the laws of the State of Alaska;
- (b) the applicable portion of the Federal Civil Rights Act of 1964;
- (c) the Equal Employment Opportunity Act and the regulations issued thereunder by the federal government;
- (d) the Americans with Disabilities Act of 1990 and the regulations issued thereunder by the federal government;
- (e) all terms and conditions set out in this RFP;
- (f) a condition that the proposal submitted was independently arrived at, without collusion, under penalty of perjury;
- (g) that the offers will remain open and valid for at least 90 days; and
- (h) that programs, services, and activities provided to the general public under the resulting contract conform with the Americans with Disabilities Act of 1990, and the regulations issued thereunder by the federal government.

If any offeror fails to comply with [a] through [h] of this paragraph, the state reserves the right to disregard the proposal, terminate the contract, or consider the contractor in default.

1.18 Conflict of Interest

Each proposal shall include a statement indicating whether or not the firm or any individuals working on the contract has a possible conflict of interest (e.g., currently employed by the State of Alaska or formerly employed by the State of Alaska within the past two years) and, if so, the nature of that conflict. The Commissioner, Department of Health and Social Services, reserves the right to **consider a proposal non-responsive and reject it or** cancel the award if any interest disclosed from any source could either give the appearance of a conflict or cause speculation as to the objectivity of the program to be developed by the offeror. The Commissioner's determination regarding any questions of conflict of interest shall be final.

Current grantees that propose to provide technical assistance to a group of grantees will be precluded from submitting a proposal unless a written statement of refusal of grant funds is attached. All proposals submitted by current grantees must indicate that grant awards will not be accepted for the duration of the contract and/or any quarterly advance that has already been received will be returned upon award of contract. Proposals submitted by current grantees without this statement shall be deemed non-responsive.

1.19 Right to Inspect Place of Business

At reasonable times, the state may inspect those areas of the contractor's place of business that are related to the performance of a contract. If the state makes such an inspection, the contractor must provide reasonable assistance.

1.20 Solicitation Advertising

Public notice has been provided in accordance with 2 AAC 12.220.

1.21 News Releases

News releases related to this RFP will not be made without prior approval of the project director.

1.22 Assignment

Per 2 AAC 12.480, the contractor may not transfer or assign any portion of the contract without prior written approval from the procurement officer.

1.23 Disputes

Any dispute arising out of this agreement will be resolved under the laws of the State of Alaska. Any appeal of an administrative order or any original action to enforce any provision of this agreement or to obtain relief from or remedy in connection with this agreement may be brought only in the Superior Court for the State of Alaska.

1.24 Severability

If any provision of the contract or agreement is declared by a court to be illegal or in conflict with any law, the validity of the remaining terms and provisions will not be affected; and, the rights and obligations of the parties will be construed and enforced as if the contract did not contain the particular provision held to be invalid.

1.25 Federal Requirements

The offeror must identify all known federal requirements that apply to the proposal, the evaluation, or the contract.

Expenditures from this contract may involve federal funds. The U.S. Department of Labor requires all state agencies that are expending federal funds to have a certification filed in the proposal (by the offeror) that they have not been debarred or suspended from doing business with the federal government. Certification regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions **(included in this document) must be completed and submitted with your proposal.**

<https://www.epls.gov/>

SECTION TWO

STANDARD PROPOSAL INFORMATION

2.01 Authorized Signature

All proposals must be signed by an individual authorized to bind the offeror to the provisions of the RFP. Proposals must remain open and valid for at least 90-days from the opening date.

2.02 Pre-proposal Conference

A pre-proposal conference will not be held for this solicitation. See Section 1.08 for instructions on submitting questions regarding this RFP.

2.03 Site Inspection

The state may conduct on-site visits to evaluate the offeror's capacity to perform the contract. An offeror must agree, at risk of being found non-responsive and having its proposal rejected, to provide the state reasonable access to relevant portions of its work sites. Department security personnel or individuals designated by the procurement officer at the state's expense will make site inspection.

2.04 Amendments to Proposals

Amendments to or withdrawals of proposals will only be allowed if acceptable requests are received prior to the deadline that is set for receipt of proposals. No amendments or withdrawals will be accepted after the deadline unless they are in response to the state's request in accordance with 2 AAC 12.290.

2.05 Supplemental Terms and Conditions

Proposals must comply with Section 1.11 **Right of Rejection**. However, if the state fails to identify or detect supplemental terms or conditions that conflict with those contained in this RFP or that diminish the state's rights under any contract resulting from the RFP, the term(s) or condition(s) will be considered null and void. After award of contract:

- a) if conflict arises between a supplemental term or condition included in the proposal and a term or condition of the RFP, the term or condition of the RFP will prevail; and
- b) if the state's rights would be diminished as a result of application of a supplemental term or condition included in the proposal, the supplemental term or condition will be considered null and void.

2.06 Clarification of Offers

In order to determine if a proposal is reasonably susceptible for award, communications by the procurement officer or the proposal evaluation committee are permitted with an offeror to clarify uncertainties or eliminate confusion concerning the contents of a proposal. Clarifications may not result in a material or substantive change to the proposal. The evaluation by the procurement officer or the proposal evaluation committee may be adjusted as a result of a clarification under this section.

2.07 Discussions with Offerors

The state may conduct discussions with offerors in accordance with AS 36.30.240 and 2 AAC 12.290. The purpose of these discussions will be to ensure full understanding of the requirements of the RFP and proposal. Discussions will be limited to specific sections of the RFP or proposal identified by the procurement officer. Discussions will only be held with offerors who have submitted a proposal deemed reasonably susceptible for award by the procurement officer. Discussions, if held, will be after initial evaluation of proposals by the PEC. If modifications are made as a result of these discussions they will be put in writing. Following discussions, the procurement officer may set a time for best and final proposal submissions from those offerors with whom discussions were held. Proposals may be reevaluated after receipt of best and final proposal submissions.

If an offeror does not submit a best and final proposal or a notice of withdrawal, the offeror's immediate previous proposal is considered the offeror's best and final proposal.

Offerors with a disability needing accommodation should contact the procurement officer prior to the date set for discussions so that reasonable accommodation can be made. Any oral modification of a proposal must be reduced to writing by the offeror.

2.08 Minimum Qualifications

In order for offers to be considered responsive offerors must provide evidence that they meet these minimum prior experience requirements.

Note: Please provide the start and end dates, including month and year, in which the minimum requirements were satisfied.

- Contractor must demonstrate in writing they have a minimum of five (5) years' experience with the development and implementation of web based information systems; at least one of which is a public health surveillance or registry system or of similar scope and complexity containing protected health information.
- Contractor must demonstrate in writing they have a minimum of five (5) years' experience implementing and supporting secure hosted solutions.
- Contractor must demonstrate in writing they have a minimum of five (5) years' experience developing and deploying web applications for a Microsoft platform.

- Contractor must verify that their version of their operating system, database, platform, reporting, programming language, and web browser the application is designed for a Microsoft platform.
 - Operating System: Microsoft Windows Server
 - Database: Microsoft SQL Server 2008 R2 or greater
 - Reporting: Microsoft SQL Reporting Services
 - Framework/Platform: Microsoft .NET
Microsoft Information Service (IIS) V 7 or greater
 - Programming Language: C#
 - Web Browser: Internet Explorer (IE version 9-11), Firefox
 - Collaboration: Microsoft Office Share Point Services
 - Work Flow: Microsoft Office Share Point Workflows
Microsoft Biztalk
- Contractor shall provide written documentation detailing their application development, patch management and update process. The documentation shall clearly identify the measures to be taken at each level of the process to develop, maintain, and manage the software securely.
- Contractor shall verify in writing that all of its programming staff, and subcontracted programming staff, have been successfully trained in Security Awareness Training and secure programming techniques.
- The contractor must state (see Section 4.02.4 Security Controls, and 5.04.6 Security Plan) that all sensitive, confidential, and/or restricted data is encrypted in transit and at rest using a NIST FIPS 140-2 certified product.
 - Sensitive and/or confidential data includes Electronic Protected Health Information (ePHI), as defined in the Federal Health Insurance Portability and Accountability Act (HIPAA), Personally Identifiable Information (PII) as defined by the US Privacy Act and Personal Information (PI), as defined in the State of Alaska Personal Information Protection Act (APIPA).
- The contractor must state at a high level how they will provide compliance by following (Attachment 23: Security Standards - NIST800-53 Controls and Attachment 24: Security Standards – Security Plan Template. (It is anticipated that the State and vendor would work together to complete the templates during the project, however the proposal must state their security approach to these standards.)
- Contractor must provide written evidence that the proposed solution's expose services or consuming services have been performed in prior implementations. See Section 4.03.2 for further information.

An offeror's failure to meet these minimum prior experience requirements will cause their proposal to be considered non-responsive and their proposal will be rejected. Evidence of meeting minimum prior experience must be shown in the experience section of the offeror's proposal.

2.09 Evaluation of Proposals

The procurement officer, or an evaluation committee made up of at least three state employees or public officials, will evaluate proposals. The evaluation will be based solely on the evaluation factors set out in Section SEVEN of this RFP.

After receipt of proposals, if there is a need for any substantial clarification or material change in the RFP, an amendment will be issued. The amendment will incorporate the clarification or change, and a new date and time established for new or amended proposals. Evaluations may be adjusted as a result of receiving new or amended proposals.

2.10 Vendor Tax ID

A valid Vendor Tax ID must be submitted to the issuing office with the proposal or within five days of the state's request.

2.11 F.O.B. Point

All goods purchased through this contract will be F.O.B. final destination. Unless specifically stated otherwise, all prices offered must include the delivery costs to any location within the State of Alaska.

2.12 Alaska Business License and Other Required Licenses

Prior to the award of a contract, an offeror must hold a valid Alaska business license. However, in order to receive the Alaska Bidder Preference and other related preferences, such as the Alaska Veteran and Alaska Offeror Preference, an offeror must hold a valid Alaska business license prior to the deadline for receipt of proposals. Offerors should contact the Department of Commerce, Community and Economic Development, Division of Corporations, Business, and Professional Licensing, P. O. Box 110806, Juneau, Alaska 99811-0806, for information on these licenses. Acceptable evidence that the offeror possesses a valid Alaska business license may consist of any one of the following:

- copy of an Alaska business license;
- certification on the proposal that the offeror has a valid Alaska business license and has included the license number in the proposal;
- a canceled check for the Alaska business license fee;
- a copy of the Alaska business license application with a receipt stamp from the state's occupational licensing office; or
- a sworn and notarized affidavit that the offeror has applied and paid for the Alaska business license.

You are not required to hold a valid Alaska business license at the time proposals are opened if you possess one of the following licenses and are offering services or supplies under that specific line of business:

- fisheries business licenses issued by Alaska Department of Revenue or Alaska Department of Fish and Game,
- liquor licenses issued by Alaska Department of Revenue for alcohol sales only,
- insurance licenses issued by Alaska Department of Commerce, Community and Economic Development, Division of Insurance, or
- Mining licenses issued by Alaska Department of Revenue.

Prior the deadline for receipt of proposals, all offerors must hold any other necessary applicable professional licenses required by Alaska Statute.

2.13 Application of Preferences

Certain preferences apply to all contracts for professional services, regardless of their dollar value. The Alaska bidder, Alaska veteran, and Alaska Offeror Preferences are the most common preferences involved in the RFP process. Additional preferences that may apply to this procurement are listed below. Guides that contain excerpts from the relevant statutes and codes, explain when the preferences apply and provide examples of how to calculate the preferences are available at the Department of Administration, Division of General Services' web site:

<http://doa.alaska.gov/dgs/policy.html>

Alaska Products Preference - AS 36.30.332

Recycled Products Preference - AS 36.30.337

Local Agriculture and Fisheries Products Preference - AS 36.15.050

Employment Program Preference - AS 36.30.170(c)

Alaskans with Disability Preference - AS 36.30.170 (e)

Employers of People with Disabilities Preference - AS 36.30.170 (f)

The Division of Vocational Rehabilitation in the Department of Labor and Workforce Development keeps a list of qualified employment programs; a list of individuals who qualify as persons with a disability; and a list of persons who qualify as employers with 50 percent or more of their employees being disabled. A person must be on this list at the time the bid is opened in order to qualify for a preference under this section.

As evidence of an individual's or a business' right to a certain preference, the Division of Vocational Rehabilitation will issue a certification letter. To take advantage of the employment program preference, Alaskans with Disability Preference or Employers of People with Disabilities Preference described above, an individual or business must be on the appropriate Division of Vocational Rehabilitation list at the time the proposal is opened, and must provide the procurement officer a copy of their certification letter. Offerors must attach a copy of their certification letter to the proposal. The offeror's failure to provide the certification letter mentioned above with the proposal will cause the state to disallow the preference.

2.14 5 Percent Alaska Bidder Preference AS 36.30.170 & 2 AAC 12.260

An Alaska Bidder Preference of five percent will be applied prior to evaluation. The preference will be given to an offeror who:

- (a) holds a current Alaska business license;
- (b) submits a proposal for goods or services under the name on the Alaska business license;
- (c) has maintained a place of business within the state staffed by the offeror, or an employee of the offeror, for a period of six months immediately preceding the date of the proposal;
- (d) is incorporated or qualified to do business under the laws of the state, is a sole proprietorship and the proprietor is a resident of the state, is a limited liability company organized under AS 10.50 and all members are residents of the state, or is a partnership under AS 32.05 or AS 32.11 and all partners are residents of the state; and
- (e) if a joint venture, is composed entirely of entities that qualify under (a)-(d) of this subsection.

Alaska Bidder Preference Affidavit

In order to receive the Alaska Bidder Preference, proposals must include a statement certifying that the offeror is eligible to receive the Alaska Bidder Preference.

If the offeror is a LLC or partnership as identified in (d) of this subsection, the affidavit must also identify each member or partner and include a statement certifying that all members or partners are residents of the state.

If the offeror is a joint venture which includes a LLC or partnership as identified in (d) of this subsection, the affidavit must also identify each member or partner of each LLC or partnership that is included in the joint venture and include a statement certifying that all of those members or partners are residents of the state.

2.15 5 Percent Alaska Veteran Preference AS 36.30.175

An Alaska Veteran Preference of five percent will be applied prior to evaluation. The preference will be given to an offeror who qualifies under AS 36.30.170 (b) as an Alaska bidder and is a:

- (a) sole proprietorship owned by an Alaska veteran;
- (b) partnership under AS 32.06 or AS 32.11 if a majority of the partners are Alaska veterans;
- (c) limited liability company organized under AS 10.50 if a majority of the members are Alaska veterans; or
- (d) corporation that is wholly owned by individuals and a majority of the individuals are Alaska veterans.

Alaska Veteran Preference Affidavit

In order to receive the Alaska Veteran Preference, proposals must include a statement certifying that the offeror is eligible to receive the Alaska Veteran Preference.

2.16 Formula Used to Convert Cost to Points AS 36.30.250 & 2 AAC 12.260

The distribution of points based on cost will be determined as set out in 2 AAC 12.260 (c). The lowest cost proposal will receive the maximum number of points allocated to cost. The point allocations for cost on the other proposals will be determined through the method set out below. In the generic example below, cost is weighted as 40% of the overall total score. The weighting of cost may be different in your particular RFP. See section SEVEN to determine the value, or weight of cost for this RFP.

EXAMPLE

Formula Used to Convert Cost to Points

[STEP 1]

List all proposal prices, adjusted where appropriate by the application of all applicable preferences.

| | |
|----------------------------------|----------|
| Offeror #1 - Non-Alaskan Offeror | \$40,000 |
| Offeror #2 - Alaskan Offeror | \$42,750 |
| Offeror #3 - Alaskan Offeror | \$47,500 |

[STEP 2]

Convert cost to points using this formula.

$$\frac{[(\text{Price of Lowest Cost Proposal}) \times (\text{Maximum Points for Cost})]}{(\text{Cost of Each Higher Priced Proposal})} = \text{POINTS}$$

The RFP allotted 40% (400 points) of the total of 1,000 points for cost.

Offeror #1 receives 400 points.

The reason they receive that amount is because the lowest cost proposal, in this case \$40,000, receives the maximum number of points allocated to cost, 400 points.

Offeror #2 receives 374 points.

$$\begin{array}{ccccccc} \$40,000 & \times & 400 & = & 16,000,000 & \div & \$42,750 & = & 374 \\ \text{Lowest} & & \text{Max} & & & & \text{Offeror \#2} & & \text{Points} \\ \text{Cost} & & \text{Points} & & & & \text{Adjusted By} & & \\ & & & & & & \text{The Application Of} & & \\ & & & & & & \text{All Applicable} & & \\ & & & & & & \text{Preferences} & & \end{array}$$

Offeror #3 receives 337 points.

$$\begin{array}{ccccccc} \$40,000 & \times & 400 & = & 16,000,000 & \div & \$47,500 & = & 337 \\ \text{Lowest} & & \text{Max} & & & & \text{Offeror \#3} & & \text{Points} \\ \text{Cost} & & \text{Points} & & & & \text{Adjusted By} & & \\ & & & & & & \text{The Application Of} & & \\ & & & & & & \text{All Applicable} & & \\ & & & & & & \text{Preferences} & & \end{array}$$

2.17 Alaska Offeror Preference AS 36.30.250 & 2 AAC 12.260

2 AAC 12.260(e) provides Alaska offerors a 10 percent overall evaluation point preference. Alaska bidders, as defined in AS 36.30.170(b), are eligible for the preference. This preference will be added to the overall evaluation score of each Alaskan offeror. Each Alaskan offeror will receive 10 percent of the total available points added to their evaluation score as a preference.

EXAMPLE

Alaska Offeror Preference

[STEP 1]

Determine the number of points available to Alaskan offerors under the preference.

Total number of points available - 100 Points

$$\begin{array}{ccccccc} 1000 & \times & 10\% & = & 100 \\ \text{Total Points} & & \text{Alaskan Offerors} & & \text{Number of Points} \\ \text{Available} & & \text{Percentage Preference} & & \text{Given to Alaskan Offerors} \\ & & & & \text{Under the Preference} \end{array}$$

[STEP 2]

Add the preference points to the Alaskan offers. There are three offerors: Offeror #1, Offeror #2, and Offeror #3. Offeror #2 and Offeror #3 are eligible for the Alaska Offeror's Preference. For the purpose of this example presume that all of the proposals have been completely evaluated based on the evaluation criteria in the RFP. Their scores at this point are:

Offeror #1 - 890 points

Offeror #2 - 800 points

Offeror #3 - 880 points

Offeror #2 and Offeror #3 each receive 100 additional points. The final scores for all of the offers are:

*Offeror #1 - **890 points***

*Offeror #2 - **900 points***

*Offeror #3 - **980 points***

Offeror #3 is awarded the contract.

2.18 Contract Negotiation

2 AAC 12.315 CONTRACT NEGOTIATIONS After final evaluation, the procurement officer may negotiate with the offeror of the highest-ranked proposal. Negotiations, if held, shall be within the scope of the request for proposals and limited to those items which would not have an effect on the ranking of proposals. If the highest-ranked offeror fails to provide necessary information for negotiations in a timely manner, or fails to negotiate in good faith, the state may terminate negotiations and negotiate with the offeror of the next highest-ranked proposal. If contract negotiations are commenced, they may be held in the MCH-Epidemiology, 3601 C St., Ste. 358 conference room on the 3rd floor of the Frontier Building in Anchorage, Alaska.

If the contract negotiations take place in Anchorage, Alaska, the offeror will be responsible for their travel and per diem expenses.

2.19 Failure to Negotiate

If the selected offeror

- fails to provide the information required to begin negotiations in a timely manner; or
- fails to negotiate in good faith; or
- indicates they cannot perform the contract within the budgeted funds available for the project; or
- if the offeror and the state, after a good faith effort, simply cannot come to terms,

the state may terminate negotiations with the offeror initially selected and commence negotiations with the next highest ranked offeror.

2.20 Notice of Intent to Award (NIA) — Offeror Notification of Selection

After the completion of contract negotiation the procurement officer will issue a written Notice of Intent to Award (NIA) and send copies to all offerors. The NIA will set out the names of all offerors and identify the proposal selected for award.

2.21 Protest

AS 36.30.560 provides that an interested party may protest the content of the RFP.

An interested party is defined in 2 AAC 12.990(a) (7) as "an actual or prospective bidder or offeror whose economic interest might be affected substantially and directly by the issuance of a contract solicitation, the award of a contract, or the failure to award a contract."

If an interested party wishes to protest the content of a solicitation, the protest must be received, in writing, by the procurement officer at least ten days prior to the deadline for receipt of proposals.

AS 36.30.560 also provides that an interested party may protest the award of a contract or the proposed award of a contract.

If an offeror wishes to protest the award of a contract or the proposed award of a contract, the protest must be received, in writing by the procurement officer within ten days after the date the Notice of Intent to Award the contract is issued.

A protester must have submitted a proposal in order to have sufficient standing to protest the proposed award of a contract. Protests must include the following information:

- the name, address, and telephone number of the protester;
- the signature of the protester or the protester's representative;
- identification of the contracting agency and the solicitation or contract at issue;
- a detailed statement of the legal and factual grounds of the protest including copies of relevant documents; and the form of relief requested.

Protests filed by telex or telegram are not acceptable because they do not contain a signature. Fax copies containing a signature are acceptable.

The procurement officer will issue a written response to the protest. The response will set out the procurement officer's decision and contain the basis of the decision within the statutory time limit in AS 36.30.580. A copy of the decision will be furnished to the protester by certified mail, fax or another method that provides evidence of receipt.

All offerors will be notified of any protest. The review of protests, decisions of the procurement officer, appeals, and hearings, will be conducted in accordance with the State Procurement Code (AS 36.30), Article 8 "Legal and Contractual Remedies."

SECTION THREE STANDARD CONTRACT INFORMATION

3.01 Contract Type

This contract is a **Fixed Price** contract.

3.02 Contract Approval

This RFP does not, by itself, obligate the state. The state's obligation will commence when the contract is approved by the Commissioner of the Department of Health and Social Services, or the Commissioner's designee. Upon written notice to the contractor, the state may set a different starting date for the contract. The state will not be responsible for any work done by the contractor, even work done in good faith, if it occurs prior to the contract start date set by the state.

3.03 Standard Contract Provisions

The successful offeror will be required to sign and submit the attached State's Standard Agreement Form for Professional Services Contracts (form 02-093/Appendix A). The successful offeror must comply with the contract provisions set out in this attachment. No alteration of these provisions will be permitted without prior written approval from the Department of Law. Objections to any of the provisions in Appendix A must be set out in the offeror's proposal.

3.04 Proposal as a Part of the Contract

Part or all of this RFP and the successful proposal may be incorporated into the contract.

3.05 Additional Terms and Conditions

The state reserves the right to add terms and conditions during contract negotiations. These terms and conditions will be within the scope of the RFP and will not affect the proposal evaluations.

3.06 Insurance Requirements

The successful offeror must provide proof of workers' compensation insurance prior to contract approval.

The successful offeror must secure the insurance coverage required by the state. The coverage must be satisfactory to the Department of Administration Division of Risk Management. An offeror's failure to provide evidence of such insurance coverage is a material breach and grounds for withdrawal of the award or termination of the contract.

Offerors must review form APPENDIX B1 in the attached EXAMPLE –Standard Agreement, for details on required coverage. No alteration of these requirements will be permitted without prior written approval from the Department of Administration, Division of Risk Management.

3.07 Contract Funding

Approval or continuation of a contract resulting from this is contingent upon legislative appropriation.

3.08 Proposed Payment Procedures

The state will make payments based on a negotiated payment schedule. Each billing must consist of an invoice and progress report. No payment will be made until the progress report and invoice has been approved by the project director.

3.09 Contract Payment

No payment will be made until the contract is approved by the Commissioner of the Department of Health and Social Services or the Commissioner's designee. Under no conditions will the state be liable for the payment of any interest charges associated with the cost of the contract.

The state is not responsible for and will not pay local, state, or federal taxes. All costs associated with the contract must be stated in U.S. currency.

3.10 Informal Debriefing

When the contract is completed, an informal debriefing may be performed at the discretion of the project director. If performed, the scope of the debriefing will be limited to the work performed by the contractor.

3.12 Contract Personnel

Any change of the project team members named in the proposal must be approved, in advance and in writing, by the project director. Personnel changes that are not approved by the state may be grounds for the state to terminate the contract.

3.13 Inspection & Modification - Reimbursement for Unacceptable Deliverables

The contractor is responsible for the completion of all work set out in the contract. All work is subject to inspection, evaluation, and approval by the project director. The state may employ all reasonable means to ensure that the work is progressing and being performed in compliance with the contract. The project director may instruct the contractor to make corrections or modifications if needed in order to accomplish the contract's intent. The contractor will not unreasonably withhold such changes.

Substantial failure of the contractor to perform the contract may cause the state to terminate the contract. In this event, the state may require the contractor to reimburse monies paid (based on the identified portion of unacceptable work received) and may seek associated damages.

3.14 Termination for Default

If the project director determines that the contractor has refused to perform the work or has failed to perform the work with such diligence as to ensure its timely and accurate completion, the state may, by providing written notice to the contractor, terminate the contractor's right to proceed with part or all of the remaining work.

This clause does not restrict the state's termination rights under the contract provisions of Appendix A, attached.

3.15 Contract Changes - Unanticipated Amendments

During the course of this contract, the contractor may be required to perform additional work. That work will be within the general scope of the initial contract. When additional work is required, the project director will provide the contractor a written description of the additional work and request the contractor to submit a firm time schedule for accomplishing the additional work and a firm price for the additional work. Cost and pricing data must be provided to justify the cost of such amendments per AS 36.30.400.

The contractor will not commence additional work until the project director has secured any required state approvals necessary for the amendment and issued a written contract amendment, approved by the Commissioner of the Department of Health and Social Services or the Commissioner's designee.

3.16 Contract Additions - Anticipated Amendment

At the State's sole option and contingent upon available funding, DHSS may invoke a second phase of this contract for additional professional services that fall within the general scope of the original contract. If opted for, work under phase II may not progress until the Procurement Officer of record determines in writing that phase II is necessary and in the State's best interest.

3.17 Contract Invalidation

If any provision of this contract is found to be invalid, such invalidation will not be construed to invalidate the entire contract.

3.18 Nondisclosure and Confidentiality

Contractor agrees that all confidential information shall be used only for purposes of providing the deliverables and performing the services specified herein and shall not disseminate or allow dissemination of confidential information except as provided for in this section. The contractor shall hold as confidential and will use reasonable care (including administrative, physical and technological security) to prevent unauthorized access by, storage, disclosure, publication, dissemination to and/or use by third parties of, the confidential information. "Reasonable care" means compliance by the contractor with all applicable federal and state law, including the Social Security Act, the Health Insurance Portability and Accountability Act ("HIPAA"), the Health Information Technology for Economical and Clinical Health Act ("HITECH Act"), and 45 C.F.R. Parts 160 and 164 ("Privacy and Security Rule"). The contractor must promptly notify the state in writing if it becomes aware of any storage, disclosure, loss, unauthorized access to or use of the confidential information.

The contractor shall comply with the business associate requirements set forth in HIPAA, the HITECH Act, and the Privacy and Security Rule if the contractor will be using or will have access to the protected health information (as defined in 45 C.F.R. 160.103) of DHSS, as part of the services performed by the contractor. The contractor shall be required to agree to the terms of, and sign, the HIPAA Business Associate Agreement as a condition of this

contract if the contractor will be using or will have access to the protected health information of DHSS, as part of the services performed by the contractor.

Confidential information, as used herein, means any data, files, software, information or materials (whether prepared by the state or its agents or advisors) in oral, electronic, tangible or intangible form and however stored, compiled or memorialized that is protected health information (as defined in 45 C.F.R. 160.103); or classified confidential as defined by State of Alaska classification and categorization guidelines (i) provided by the state to the contractor or a contractor agent or otherwise made available to the contractor or a contractor agent in connection with this contract, or (ii) acquired, obtained or learned by the contractor or a contractor agent in the performance of this contract. Examples of confidential information include, but are not limited to: technology infrastructure, architecture, financial data, individually identifiable health information, trade secrets, equipment specifications, user lists, passwords, research data, and technology data (infrastructure, architecture, operating systems, security tools, IP addresses, etc.).

If confidential information is requested to be disclosed by the contractor pursuant to a request received by a third party and such disclosure of the confidential information is required under applicable state or federal law, regulation, governmental or regulatory authority, the contractor may disclose the confidential information after providing the state with written notice of the requested disclosure (to the extent such notice to the state is permitted by applicable law) and giving the state opportunity to review the request. If the contractor receives no objection from the state, it may release the confidential information within 30 days. Notice of the requested disclosure of confidential information by the contractor must be provided to the state within a reasonable time after the contractor's receipt of notice of the requested disclosure and, upon request of the state, shall seek to obtain legal protection from the release of the confidential information.

The following information shall not be considered confidential information: information previously known to be public information when received from the other party; information freely available to the general public; information which now is or hereafter becomes publicly known by other than a breach of confidentiality hereof; or information which is disclosed by a party pursuant to subpoena or other legal process and which as a result becomes lawfully obtainable by the general public.

SECTION FOUR BACKGROUND INFORMATION

4.01 Business Background Information

Background information concerning this project is as follows:

The Section of Women's, Children's and Family Health (WCFH) is responsible for operating the Alaska Birth Defects Registry (ABDR) under Alaska Statute 7 AAC 27.012 (5). The ABDR is a passive surveillance system that relies on physicians, hospitals and other healthcare facilities and providers to voluntarily report the names of children who may have a birth defect. The ABDR program follows guidelines set forth by the National Birth Defects Prevention Network (National Birth Defects Prevention Network, (NBDPN). (Sever LE, ed. *Guidelines for Conducting Birth Defects Surveillance*. Atlanta, GA: National Birth Defects Prevention Network, Inc., June 2004)

WCFH prepares and disseminates statistical information and epidemiological analyses that are essential to monitor health status, to identify health problems, to inform the public, and to evaluate the effectiveness of current health programs and initiatives. Data are regularly reported to the National Birth Defects Prevention Network and the Centers for Disease Control and Prevention.

Alaska has approximately 11,000 live births per year.

The current data system is a group of MS Access 2003 - 2007 databases.

At present the registry contains:

- + 50,000 records for individuals born on or after January 1, 2000
- + 250,000 individual encounter reports from providers (Jan 2000 to present)
- + 500 Contact entities (providers, agencies, clinics)
- + 350,000 Vital Statistics records
- + 1,600,000 Medicaid records
- + 10,000 abstract records

Anticipated annual volumes for incoming data are:

- + 10000 encounter records
- + 2000 Abstract records

Reminder activity:

- + 150 per quarter
- + 250 annually
- + 100 bi-annually

The registry is maintained by the MCH-EPI central office staff. There are currently four internal users, located in Anchorage. The medical community reports encounters to the Birth Registry (BR). There are approximately one hundred and fifty active agencies that report to the BR.

The ABDR tracks protected health information (PHI).

Data is submitted to the Birth Defects Registry from the hospitals / providers / clinics in a standard electronic format. Approximately 10% of the data for birth defects are reported through a manual input process. Collected data includes individual data including demographics, dates of service, diagnostic information (ICD-9/ICD-10), and provider data.

4.01.1 ABDR Functionality

Birth Registry accepts, stores, and reports based on the encounters reported by providers and agencies. Reporting entities include hospitals, providers, and clinics. Reports are received in electronic and hard copy formats. Confirmation of conditions and data quality verification is accomplished through onsite review of medical records (abstraction).

The main functions of the Birth Registry are:

- Receive and Process encounter data
 - Manual Data Entry
 - Batch Data Entry capability for all incoming dataEncounter data is received from a variety of sources. The data is filtered to remove duplicate and redundant data, matched to existing individuals and, if none are found, new individuals are created.
- Receive and Process Vital Statistics data

Vital Statistics Data is received on a monthly basis. Incoming Vital Statistics data is matched against individuals to identify individuals born within the state, to confirm names and birth state, to capture demographic data, and to identify modifications to existing data.
- Abstraction Data Acquisition and Maintenance

The abstractor visits offices, clinics and medical facilities to view medical records. This information is entered into a Case Verification form. The abstractor makes a case determination (Confirmed, Probable, Ruled Out) and case disposition (Open, Closed) based on available information.
- Agency information, reminder, and activity tracking

Reporting agency information is collected and maintained. Multiple points of contact are tracked for each agency. Summary data is maintained on reporting dates, record counts, date ranges of reported records, and reminder dates. Reporting reminders are sent on multiple schedules. Agencies are classified in two ways. An agency 'Tier' classification is based on the diagnostic data available at the site. An agency 'Defect Group' classification is a relative measure of the diagnostic data for a specific defect group.
- Annual Data Extracts

On an annual basis data is moved to the system Archive, and to the Reporting Data store. The data is reviewed for accuracy and consistency prior to any data movement.

 - A standard process is followed to extract the closing years' data from the active BR data files. This data is added to the Reporting Data set.
 - All data in the BR for the closing year is added to the Archive data set. The archive data set is maintained by the vendor.
 - All data for the closing year is then removed from the active BR files.
- Reporting

The state is interested in a flexible reporting solution that the state can use to develop and save queries, formatted reports and to output data to spreadsheet (.xls /.xlsx), pdf, database (.mdb/.accdb), or csv (comma or tab) format. The solution will allow multiple users to access and query the system simultaneously.

4.02 State of Alaska DHSS Technical Infrastructure Background

Information technology services for DHSS agencies are provided by DHSS Finance and Management Services/Information Technology Services (ITS). ITS maintains the DHSS Data Centers in Juneau and Anchorage and provides operational support and integration assistance for systems hosted on-site.

4.02.1 Hosting Considerations and Constraints

There are a number of environment considerations and constraints that the Offerer should be aware of that will

help in the evaluation of the solution response.

4.02.2 State WAN (Wide Area Network) and Bandwidth

The State WAN is maintained at the enterprise level by the Department of Administration/Enterprise Technology Services (ETS); WAN connectivity and bandwidth available to grantees via the WAN is controlled by contractual agreements between ETS and local internet providers. Some rural areas experience internet connection speed as low as 56k and frequent network disruptions.

Due to the great distances between communities in Alaska and the lack of road connections in most areas of the state, electrical power is locally generated in most parts of the state. While Anchorage has redundant transmission lines from its electrical generating plant and rarely experiences system-wide outages, local outages can occur due to weather-related conditions or damage to the distribution system. Electrical power in most other parts of the state is subject to periodic system-wide outages as well as localized outages. Broadband service is available in most of the larger communities in Alaska. However, in communities located off the road system that rely on satellite connections, a T1 line is a significant expense.

The Birth registry is operated by 4 internal users, and potentially 150 public access users. It operates solely from Anchorage, and does not use the State wide area network.

4.02.3 Off-site hosting considerations

As DHSS IT does not have control of off –site hosted environments, any and all security mechanisms for hosted applications outside the State network falls to the responsibility of the vendor. This includes encrypting and securing any HIPAA data, to adopt the latest security measures available to prevent unauthorized access. As part of the security controls this includes server patching and providing a security plan to our state security office and department security offices. The vendor assumes the responsibility for any and all authentication and account creations or modifications.

At time of contract, the vendor must provide responses to Attachment 23: Security Standards - NIST800-53 Controls and sign the Appendix E – HIPAA Business Associate Agreement. During the development activity the vendor in conjunction with DHSS must provide responses to Attachment 24: Security Standards – Security Plan Template.

4.02.4 Security Controls

Department, State, and Federal security standards are enforced through a number of security controls which require coordination with the Department Security Office (DSO) and the DHSS Security Plan template (Attachment 24: Security Standards – Security Plan Template) to document the approach, methodology, roles and responsibilities, and processes and procedures with respect to the Technical Contractor's tasks.

All sensitive, confidential, and/or restricted data is encrypted in-transit and at-rest using a NIST FIPS 140-2 certified product.

Sensitive and/or confidential data includes Electronic Protected Health Information (ePHI), as defined in the Federal Health Insurance Portability and Accountability Act (HIPAA), Personally Identifiable Information (PII) as defined by the US Privacy Act and Personal Information (PI), as defined in the State of Alaska Personal Information Protection Act (APIPA).

Security controls are audited for the DHSS Risk Assessment regardless of whether an application/solution is hosted on premise or elsewhere. The Department's current IT security standards are provided in Attachment 23: Security Standards - NIST800-53 Controls, and Attachment 24: Security Standards – Security Plan Template.

State and federal standards for Public Health:

- a. Health Insurance Portability and Accountability Act (HIPAA) – for more information go to <http://www.hhs.gov/ocr/hipaa/>;

- b. Health Level Seven (HL7) Version 2.5 Standards for Messaging and the Reference Information Model (RIM) - for more information go to <http://www.hl7.org/>;
- c. The National Center for Health Statistics (<http://www.cdc.gov/nchs/index.htm>), Classification of Diseases, Functioning, and Disability (ICD-9 CM, ICD-10 CM) – go to <http://www.cdc.gov/nchs/icd.htm>
- d. The Systemized Nomenclature of Medicine (SNOMED) – for more information go to <http://www.snomed.org/>;

4.02.5 Integration Controls

Integration controls for passing data are performed either via the Health Information Exchange (HIE) or the Department's BizTalk Enterprise Service Bus (ESB). See section 4.02. for further information.

4.02.6 Data Security

The Department of DHSS is considered a covered entity in regards to HIPAA and APIPA which governs security requirements for ePHI, HIPAA, and PII. DHSS owns the data and can demand it at any time.

4.02.7 Desktop Access

DHSS is a Dell Hardware shop so all workstations are Dell.

- a. Staff do not have administrative rights for their machines. If there are specific active X, or plug ins they must be kept patched.
- b. Applications delivered via Web software should be browser version and device independent. However, the main browsers supported are Microsoft IE 10, 11, and Firefox.
- c. Software should not be dependent on a specific version of MS Office Suite. We are currently at 2010 – but we move the organization as a whole for the Department upgrades – not just the ABDR office.

4.03 State of Alaska DHSS MITA/NHSIA Standards and Department IT Roadmap

The State of Alaska Department of Health and Social Services (DHSS) is evolving from a traditional model of program-centric administration based on division-level technology needs, to a Department-level, enterprise-wide architecture based on the leveraging of shared technology and business components. The result for DHSS is a modular, flexible Health Information Technology (HIT) architecture, designed to allow the Department to meet current and future business needs, with a focus on lower cost, increased efficiency, and improved service.

The result for Alaska is the transition from a Division-centric IT approach to one that aligns with the technical and business needs across the Department, supporting the implementation and sharing of common components across Divisions. The full implementation of the Department IT Roadmap establishes the following guiding principles and strategies:

- a. Maximize use of Department HIT expenditures through reuse of shared technology and business services, allowing functionality and services to be exposed for reuse
- b. Alignment of business needs and business processes across Divisions
- c. Migration to a DHSS-enterprise, consumer-centric focus, moving away from siloed, program-specific perspectives

The Department is migrating toward an enterprise Service Oriented Architecture (SOA) consistent with Medicaid Information Technology Architecture (MITA) and the Centers for Medicare and Medicaid Services (CMS) Seven Conditions and Standards (7C&S) outlined below:

- a. Modularity
- b. MITA
- c. Industry Standard
- d. Leverage Condition
- e. Business Results Condition
- f. Reporting Condition
- g. Interoperability Condition

4.03.1 Modularity

Modularity is based on the concept that the system components can be separated and combined in a flexible way. This can be accomplished with the use of Application Programming Interfaces (APIs). Application is another term for program or system. APIs provide a way for an application developed by one Contractor to access applications that were developed by a different Contractor.

4.03.2 MITA/NHSIA Condition

Most of the MITA/NHSIA Condition centers around requiring states to align their future system enhancements to an increasingly mature design that provides for the flexibility and interoperability defined within the 7C&S. Attachment 25 - The Alaska (AK) Department of Health and Social Services (DHSS) Enterprise Roadmap Phase II v1.4 was published on May 17, 2013. Attachment 22: Alaska Department of Health and Social Services IT Standards have been included in the attachments.

This requirement requires a demonstration of understanding of the Department's Enterprise Information Technology (IT) Roadmap and how this applies to the Contractor's proposed solution.

4.03.3 Industry Standards Condition

States must ensure alignment with, and incorporation of the following industry standards: the Health Insurance Portability and Accountability Act (HIPAA) of 1996 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 (ACA); and standards and protocols adopted by the Secretary under section 1561 of the ACA.

4.03.4 Leverage Condition

This condition defines that the State solutions should promote sharing, leverage, and reuse of technologies and systems within and among states. This condition requires the demonstration if possible of how the proposed solution can be exposed for reuse by the Department's existing enterprise systems and what impacts they would have to the schedule and budget of the proposed solution.

4.03.5 Business Results

This condition ensures that there is a requirements process and traceability of requirements for deliverable acceptance.

4.03.6 Reporting Condition

The proposed solution should support accurate and timely processing of surveillance data. Solutions should produce transaction data, reports, and performance information that would contribute to program evaluation, continuous improvement in business operations, and transparency and accountability.

4.03.7 Interoperability Condition

The current focus of healthcare and human services is to improve the effectiveness of healthcare and service delivery. This focus includes improved information sharing between providers and improved service outcomes with more cost effectiveness.

4.03.7.1 Enterprise Service Bus

The IT Infrastructure within DHSS has a BizTalk Enterprise Service Bus (ESB). The Enterprise Service Bus (ESB) is a component of a modular, Service Oriented Architecture (SOA) that promotes reusability and the use of shared services. The ESB acts as a universal translation program or a gateway for non-homogenous applications to share and consume services.

4.03.7.2 Business Rules Engine

The Business Rules Engine (BRE) is an example of common functionality that could be shared by one or many of the different use cases and primary actors for case management.

SECTION FIVE SCOPE OF WORK

5.01 Business Scope of Work Vision, Goals, and Objectives

The Department of Health and Social Services, Section of Women's, Children's and Family Health, is soliciting proposals for procurement, configuration and hosting of a software application as a service.

This web-based relational database system is configured for tracking birth defects occurring to Alaska residents. The intended outcome is a web solution accessed via the internet that provides:

- Efficient and robust data entry, storage and reporting;
- Accurate, safe and secure transmission of PHI data;
- Stable database.

The primary Customer is the WCFH staff, however the reporting and program results from the system support:

- The Alaska Legislature;
- Division of Public Health;
- Division of Behavioral Health;
- Advocacy groups and family leaders;
- Health care providers;
- Women of childbearing age;
- The community at large.

The Goal and Objectives are:

| Goal | Objectives | Success Measures |
|--|---|--|
| Implement a web based ABDR surveillance tracking system | <ul style="list-style-type: none">▪ Report birth defects accurately▪ Identify duplicate records (provider reports or patient names)▪ Accept provider reports through a web based browser▪ Accept provider reports submitted by electronic file (batch)▪ Accept manual data entry▪ Archive rejected and duplicate provider reports▪ Accept Abstraction Results▪ Output specific reports on a regular basis▪ Conduct data entry validity checks▪ Rules based application - Store updateable lookup tables for lookup lists and criteria▪ Secure transfer of data from reporters to database▪ Run user-designed and saved queries and reports | <ul style="list-style-type: none">▪ Secure transfer of PHI▪ Stable platform and application▪ Better application response for screen loads, query and report performance▪ User-friendly data entry▪ User-friendly query environment▪ User-friendly data maintenance▪ Efficient matching, de-duplication and linking functions.▪ Provides a process to accurately manage case verification and disposition▪ Output reports correctly with user-defined fields present▪ Data import without errors |

5.02 Project Management Requirements

The Alaska Birth Defect Registry implementation project will proceed in the following order:

- a. Design
- b. Development and User Familiarization
- c. Rollout
- d. Operations and Maintenance Activities

Due to the short duration of the project, tasks will occur concurrently.

As part of their response, the Contractor will provide detailed descriptions of all planned activities and timeframes in their Master Project Work Plan/Schedule. Contractors shall provide a Master Project Management Plan that meets or exceeds the requirements and schedule described below.

The Master Project Work Plan/Schedule provides the tasks, activities tracking. The preliminary Master Project Work Plan/Schedule should be included with the proposal per Section 6.03. as part of the answer to the Project Methodology.

The Master Project Work Plan/Schedule must include a schedule of work, including a Gantt chart illustrating project milestones, dates, and timeframes for resource utilization and contract deliverables.

The Master Project Management Plan provides the Project Management process for ensuring deliverables occur

and meet requirements success measures and provides traceability back to the Master Project Work Plan/Schedule.

The contractor may propose an alternate schedule with appropriate justification and level of detail for any proposed alternatives.

5.02.1 Project Life Cycle

The Master Project Management Plan should include the Project Life Cycle Methodology proposed for this project. The Master Project Work Plan/Schedule should include the high level milestone timetable.

The following sample timetable presents a high level summary of the project schedule and can be negotiated by the State Project Manager, Procurement Officer and the successful Bidder. The Contractor must acknowledge the following tasks in their proposal and provide a description of how these tasks will be accomplished:

| | Phase | SAMPLE Timeframe |
|----------|--|-------------------------|
| Phase I | Design Development | Aug 2014 – Jan 2014 |
| | Rollout / Go Live | |
| Phase II | Final Documentation Delivery Initial System Operation | Feb 2014 – Aug 2015 |

5.02.2 Project Initiation Meeting

The contractor shall hold and facilitate an in-person a Project Initiation Meeting to kick-off the project. The meeting will take place in Anchorage, Alaska. The contractor shall be prepared to provide an overview of how they intend to accomplish the tasks of the project, discuss the project schedule, and begin discussing the system modifications desired by the State. Within five (5) days of the meeting, the contractor shall provide a memorandum documenting decisions and outcomes of the meeting. The meeting will address:

- a. Deliverable review and approval process;
- b. Determining format and protocol for project status meetings;
- c. Determining format for project status reports;
- d. Setting the schedule for meetings between representatives from the State and the contractor to develop the detailed Master Project Work Plan/Schedule and Master Project Management Plan;
- e. Defining lines of communication and reporting relationships;
- f. Reviewing the project mission, scope, approach and timeline;
- g. Pinpointing high-risk or problem areas; and
- h. Issue resolution process(es).

5.02.3 Project Management Plan

As part of their proposal, Contractors shall provide a preliminary Master Project Work Plan /Schedule prepared using Microsoft Project. The Master Project Work Plan/Schedule will include all anticipated project tasks, project resources by name, and effort levels for each resource. Within 10 days after the project initiation meeting, the contractor shall deliver an updated Master Project Work Plan/Schedule that reflects any changes from the preliminary Master Project Work Plan/Schedule submitted with the contractor's proposal that were discussed and agreed to during the project initiation meeting. The Master Project Work Plan/Schedule shall be maintained throughout the life of the project. Dates in the Master Project Work Plan/Schedule shall not be updated without mutual agreement between the contractor and the State Project Manager to reflect the accurate status of the project.

The Master Project Management Plan includes sections for the managing the following project subject/process areas.

- a. Project Scope Management

- b. Project Work Breakdown Structure
 - i. Individual project resources by name
 - ii. Effort required for each resource
- c. Quality Management
- d. Schedule Management
- e. Change Management
- f. Communications
- g. Staffing Management, including roles and responsibilities and subcontractor management
- h. Communication Management
- i. Risk Management
- j. Issue Management

The Contractor will submit resumes for all resources assigned to the project to the state project manager. The Contractor will detail what State activities and State resource assumptions they have made in response to the Master Project Work Plan/Schedule. The State project manager will review and approve all changes to the Master Project Work Plan/Schedule and to the Master Project Management Plan.

The Master Project Management Plan will ensure that following additional plans will be addressed and that the activities and tasks are included in the Master Project Work Plan/Schedule:

- a. Product Design/Configuration Plan
- b. Security Plan
- c. System Test Plan
- d. Data Conversion Plan
- e. Training Plan
- f. Implementation Plan
- g. Ongoing Operation Maintenance Plan

5.02.4 Project Reporting

The Contractor will be responsible for scheduling, meeting agendas, minutes and final reports. It is anticipated that most status meetings will occur via web and/or video conference; onsite status meetings shall take place in conjunction with other onsite activities.

The state will provide a Share Point site which the contractor will use to track project status, progress, issues, schedules, and as a documentation repository.

5.02.4.1 Weekly

The contractor shall have a weekly meeting with the State Project Manager and provide a single page weekly status report for discussion. The contents of the report shall include at a minimum:

- a. Project progress and accomplishments for the reporting period;
- b. Items/ tasks to be completed during the next reporting period;
- c. Items/ tasks that are behind schedule
 - i. Impact and risk to the project;
 - ii. Mitigation;
- d. Open Issues
 - i. Impact and risk to the project;
 - ii. Mitigation;
- e. Any obstacles to progress
- f. Housekeeping
 - i. Site visit schedules

- ii. Team activities and availability

5.02.4.2 Monthly

The contractor shall lead the monthly status meeting to:

- a. provide updates on project progress;
- b. discuss issues; and
- c. review project risks.

Attendees will include the Project Sponsors, State Project Manager, and core team members as appropriate.

A formal monthly report will be submitted to the State within 5 working days of the monthly meeting. It will contain a monthly summary of the information of all weekly reports for the month. In addition it will include:

- a. Master Project Work Plan/Schedule review
 - i. Task information updated to reflect percentage completion
- b. Project Management metrics
 - i. Actual effort vs Planned
 - ii. Cost to date vs Planned
 - iii. Estimates to complete both effort and cost on a major task basis
- c. Staffing changes
- d. Change Orders
- e. Other business as necessary

5.03 Application Requirements

The State of Alaska is procuring a new system. As such it is not interested in either replicating what or how the current system stores, manipulates, and processes data. The state is providing examples of existing data structures for informational purposes only. The expectation is that the Contractor will propose and implement a solution that provides optimal organization structures for the data and its intended use. Application Functional requirements are described in the following sections.

5.03.1 Rules Based, Data Driven Application

The new application will be a rules based application. To the extent possible all rules, parameters, criteria, and value sets used with the application will be deconstructed and placed in tables to facilitate application maintenance. The intent is to develop as flexible a solution as possible to accommodate future MCH-EPI program changes. The application contains a number of value sets and criteria used as filters to group and aid in system operation. Example: Agencies are classified by 'Tier'. The data manager will maintain the value set data.

This application will have the ability to log all error conditions internally for later review by the data manager.

5.03.2 Individual Condition and Encounter Record

Individuals with reported birth defects are identified and tracked within the application using three major code sets:

1. ICD codes – three to ten digit diagnosis codes used to report encounters.
2. Statute codes - three letter acronyms based on the diagnosis code ranges in the State of Alaska Statute (7 AAC 27.012). At present there are 38 individual ranges of ICD codes. The value is populated based on a lookup to the valid ICD code table;

3. Condition codes - three letter acronyms based on the diagnosis code ranges in the State of Alaska Statute (7 AAC 27.012) plus additional items that require abstraction for diagnostic confirmation. At present there are 16 additional ranges of ICD codes. The value is populated based on a lookup to the valid ICD code table;

Incoming encounter records are required to include a valid acceptable ICD code (from the ICD lookup table). Encounter records are updated with both statute and condition codes.

Individuals with reported conditions are identified in the application by the unique combination of: Individual (last name, first name, DOB, Sex), and Condition code. This unique combination, individual + condition code is the basis for all activity related to individuals within the application. All reporting and follow up activity is based on the status of this data combination.

Encounter records are received and maintained in the system from a wide range of reporting entities. An individual encounter record is identified by the combination of: individual, condition code, and reporting entity.

A single record for each unique individual encounter record is maintained within the application. Additional encounters for the same individual, condition, and agency are not added to the working data set (but are included in the 'all encounters' data set).

Incoming records for the same individual and condition from different agencies are added to the encounter data. The result is a set of records containing a single record for each individual, condition, and reporting entity combination.

5.03.3 Receive and Process Encounter data.

Providers submit their encounter reports (containing PHI) directly to the ABDR website via a secure web-based interface.

The process workflow is illustrated in Attachment 9: Incoming Encounter Data. The Contractor will apply all relevant and appropriate data entry restrictions to prevent entry of non-pertinent data as close to the point of entry to the application as possible. All records are input with the same layout and formatting requirements regardless of source (manual input or batch input). Any data transformation required to arrive at the standard format will be accomplished by the BR Data Manager.

5.03.4 Incoming Encounter Data

Health care providers, including hospitals, send protected health information on children with birth defects to the registry. This encounter data is received by the application through manual or batch input.

Children may see several specialists or visit more than one facility resulting in multiple reports of the same condition from different physicians or facilities and different dates of service.

Information reported to the ABDR include: names, aliases, dates of birth, ICD-9 / 10 codes (ABDR tracks more than 1200 ICD 9 and 10 codes at present), agency name, contact information and location, dates of service, date of report.

The State is interested in a flexible data import solution.

- a. All appropriate field level data entry input restrictions are required. Example:
 - i. Dates must use a consistent entry format.
 - ii. Names use a first letter capital convention.
- b. All record level rules will be checked prior to records acceptance to allow uncommitted transactions to rollback. Example: Date of Birth must be earlier than Date of Service.
- c. All incoming data is saved to an 'all incoming encounters' table with the following data:
 - i. The date the data was submitted to the application.
 - ii. The agency that submitted the data

- iii. The encounter data itself (see below for description)
- d. The 'all incoming encounters' table will be maintained for seven years.
- e. All incoming data passes the same acceptance criteria.

5.03.5 Encounter Data Format

Incoming encounter data is received in the following standard format. See Attachment 20: ABDR Reporting Guide.

- a. Patient Information:
 - i. Date of Service (Encounter / Discharge Date) – Numbers only MM/DD/YYYY, 8 numbers
 - ii. Last Name – Any Text
 - iii. First Name – Any Text
 - iv. Middle Name/ Initial – Any Text
 - v. Date Of Birth – Date of Patient's birth. Numbers only MM/DD/YYYY, 8 numbers
 - vi. Sex – M F, Caps
 - vii. Race - Up to five letters from the list below, all caps.
 - a)N - Alaska Native/American Indian
 - b)P - Asian/ Pacific Islander
 - c)B - Black
 - d)U - Other/Unknown
 - e)W - White
 - i. City of Residence – In what city does the patient live;
 - ii. City of Birth – In what city was the patient born;
- b. Agency Information:
 - i. Medical Record Number – the medical record number of the patient at your facility;
 - ii. ICD-9 / 10 Code – Diagnostic code;
 - iii. Condition Narrative / Description – Description of the preceding ICD code;
 - iv. Optional:
 - a)Condition Confirmation – Y or N, Do you have documentation to confirm this condition in your records;
 - b)Referred From – The agency that referred the individual to your facility.
- c. Date/Time Stamp – the time and date the record was input to the system.
- d. Comment – any comments
Update Date/Time – if the record is changed for any reason, this field is updated and a comment is required.

5.03.6 Manual Data Input

Incoming encounter data is manually keyed into the application by reporting agencies, and the Birth Registry (BR) Data Manager. The input form will allow the review of multiple records before committing the transaction.

5.03.7 Batch Data Input

Incoming encounter data is received in a variety of formats (xls, xlsx, csv, txt). The application allows an agency to select and submit a file to upload to the application. The file is logged into the agency activity tracking file based on the agency id, file name, size, the date and time of submission, and stored for disposition by the data manager. The data file is reviewed (downloaded to a local computer on the SOA network) by the data manager to ensure the included data meets the acceptance criteria for consistency, correct column order, and is formatted appropriately. Suitable records are copied into an import form within the application. This form applies field level formatting and data consistency checks upon the incoming records.

5.03.8 Data Acceptance Criteria.

ABDR receives reports in many different formats: faxes, worksheets, pdf documents, typed notes, csv files, etc. Filtering the incoming data ensures data entered is valid, and acceptable.

All incoming encounter data, regardless of source, is subject to the same entry criteria.

Incoming data is checked for the following:

- a. The reported ICD code is compared with the list in the valid ICD Code table. The Data Manager will maintain the set. Only valid codes are accepted. ICD Tables are updated annually, based on ICD changes and CDC guidelines
- b. If the individual + condition code + agency combination exists in the encounter data set, the record is not accepted;
- c. Dates must be dates. The current system uses MM/DD/YYYY as the standard data format, and MM/DD/'20'YY as a manual data entry input mask;
- d. Records for all reportable conditions are accepted for individuals who have not yet attained their sixth (6th) birthday on the Date of Service reported;
 - i. Valid records are accepted for up to one (1) year after individuals have aged out of the system.
- e. Date of Birth =< Date of Service =< Date of Submission to the Registry;
- f. Other criteria may be developed

The Contractor will apply all relevant and appropriate data entry restrictions as close to the point of entry to the application as possible. It is important for the Contractor to provide a flexible solution for accommodating changes or additional criteria.

- Data Maintenance
 - To the extent possible all rule value sets used with the application will be placed in tables to allow appropriate users to modify them. The intent is to develop as flexible a solution as possible to accommodate future program changes. The application contains a number of value sets and criteria used as filters, to group, and aid in system operation. Example: Agencies are classified by 'Tier'. The data manager will have administrative access to maintain the data.
 - Individual Merge
 - Over time the data associated with individuals becomes more complete; additional aliases, name changes, and cities of residence are collected. An individual that was not initially matched to any other encounter record may match another existing record. The application will provide a method to match and merge the two sets of information. Individual identification numbers are unique to the individual and will be present in the system until purged.

5.03.9 Agency Information and Condition update

All incoming records are updated with the appropriate agency ID, statute condition, and abstract condition:

- a. ID – the unique agency identifier for the application;
- b. Tier – The agency abstraction priority number;
- c. CondSpec – Y/N designates the reporting agency is a specialist for the reported condition;
- d. Statute code - The three character condition code for the ICD code ranges covered by Alaska Statute. At present there are 38 ranges of ICD codes. The value is populated based on a lookup to the valid ICD code table;

- e. Condition code – The statute codes plus a three character condition code for the ICD code ranges covered by all ICD codes that are abstracted to confirm diagnoses. At present there are an additional 16 codes in use. The value is populated based on a lookup to the valid ICD code table;
- f. Comments
- g. UpdateDT- The date time stamp for this encounter when input into the system.

5.03.10 Name Matching

Incoming encounter data is matched to existing individual information.

5.03.11 Direct matches

Incoming records are compared to existing individuals based on last name, first name, DOB, and sex. Records with exact matches to existing individuals are updated with the existing individual id, and added to the encounter data.

5.03.12 Unmatched Records

Unmatched records are compared to existing individuals in the system using a probabilistic matching algorithm (fuzzy matching). The algorithm generates a number that represents the relative rank (similar to a correlation) for each existing individual to the unmatched individual in question. Matching is based on portions of last name, aliases, first name, ranges of dates of birth, and gender name in various combinations. A composite score (% of match) is generated for each existing individual. The potential matches are listed in descending order. The data manager reviews all potential matches and determines if a match is appropriate for each of the unmatched records. Encounter records that are matched with this process are updated with the existing individual id. Aliases and demographic data are updated on the existing individual record for any new data in the incoming encounter data.

5.03.13 Demographic Data Update

Encounter records are compared with the existing and manually matched individual records to identify additional or changed demographic data. Individual records are updated with all changes. A history for individuals and changed demographic data is maintained including aliases, spelling differences, and alterations of names, changes in residence etc., including the dates the changes occur.

5.03.14 Encounter and Case Comparison

All matched encounter records are compared to existing case files. Case files are maintained on every combination of individual and condition code reported to the Registry. Each combination of individual and condition code is unique. A single entry for each individual + condition is maintained with status. If an existing case exists and the case has been closed, the incoming encounter record is not imported.

5.03.15 Create New Individual

Any remaining unmatched records represent newly reported individuals and conditions. New individual records are created for each unmatched individual in the individual table. Newly generated individual id's are updated to the incoming encounter records. The case file is updated with all new individuals and conditions based on the incoming encounter records.

When all valid incoming encounter records are identified with an individual (existing or newly created) the matching process is complete.

5.03.16 Create New Case

New individual case files (unique combinations of individual + condition) are created for all incoming encounter records that do not exist in the case file data set. The case status and disposition are updated based on the current abstraction criteria. At present there are fifteen conditions that are flagged as abstraction candidates, and whose status is set to Open. All other conditions are set to status Closed.

5.03.17 Match New Individuals with Birth Records

All newly created individuals in the application are matched against the birth record file using the matching algorithms described above (5.03.10 Name Matching). Additional comparison parameters include race, mother's last name, maiden name, and father's name. If a match is identified the individual ID is added to the birth record. If there are differences in the names, or other demographic data in the application, the individual record in the registry is updated based on the Vital Statistics data. Any changed information is saved to the alias data file(s).

5.03.18 Update Encounter Activity file

The encounter activity file is updated after each set of records are input. For each set of data submitted to the application the following is recorded:

- a. Date of record submission;
- b. Date and time of entry into the system;
- c. Number of initial incoming encounter records;
- d. Number of encounter records added to the encounter table (new unique encounter records);
- e. Number of new individual records generated from this submission;
- f. Number of new case files generated.

The import encounter process is complete.

5.03.19 Vital Statistics Data Import

Vital Statistics (VS) data is received monthly and processed into the Registry. The data is received in csv format, reviewed for consistency, and imported. Incoming data includes new births and any modified birth records. The data manager receives the file and runs the import routine in the application. The incoming records are added to the Vital Statistics table which captures all incoming VS records.

A matching routine is conducted on a monthly basis to identify all individuals in the system with corresponding VS records. The name matching process is described in Sec. 5.03.10 Name Matching Name Matching.

The VS data is also matched against individuals to identify modifications to the individual data set. If a modification is identified, the individual record is updated based on the incoming VS data. Any changed information is saved to the alias, and changed demographics data file(s) including the dates of change.

Vital Statistics data shall be retained for a minimum of seven (7) years.

5.03.20 Abstraction Data Acquisition and Maintenance.

The abstractor visits physician offices and medical facilities to view medical records using the Open Abstraction Report as a basis. Two abstractors will access and update the system simultaneously.

The process workflow is illustrated in Attachment 10: Abstraction Data Acquisition.

Defects are organized into Condition Groupings based on Statute.

5.03.21 Abstract Report

This report identifies all individuals whose case files are on file based on selection criteria specified by the abstractor. Criteria are input to determine the information presented in the report. Selection criteria include:

- a. Condition Status (Confirmed, Ruled Out, Inconclusive)
- b. Case Status (Open, Closed)
- c. Location (City or Region)

- d. Abstract condition
- e. ICD Code, Abstract Condition, and Statute Condition
- f. Agency
- g. Individual Name and ID
- h. Date of Birth range

The Abstraction report is produced and grouped by:

- a. Individual
- b. Location
- c. Agency
(Tier score, and Specialty)
- d. Abstract Condition Priority

The Report is generated by selecting any or all of the above criteria, groups, and sort orders.

Columns include Names, aliases, DOB, Condition Code, ICD code for each individual and agency name, contact information, and abstraction status.

5.03.22 Case Verification Form

Case verification forms capture individual diagnostic information from the review of medical records. Unique forms available for each condition group abstracted. The application will allow the abstractor to download the appropriate case verification form(s).

The application will accept a completed verification form for storage within the application file system. The application will save a pointer to the completed case verification form on the case record. This will allow the abstractor to review individuals, case records and easily access the verification form from within the application.

5.03.23 Case Determination

The abstractor makes a case determination (Confirmed, Probable, Ruled Out, Inconclusive) and case disposition (Open, Closed). The abstractor enters the case determination and disposition information into the application.

5.03.24 Update Individual and Agency Information

The abstractor will update individual and agency information as required. Information includes aliases, contact, and paternal, demographic, and contact information.

5.03.25 Agency Information

The application will maintain Agency information to facilitate activity tracking, and contact information.

- a. Multiple points of contact are tracked for each agency. Examples:
 - i. Management contact (HIM)
 - ii. Reporting contact (Database Administrator (DBA), systems analyst)
 - iii. Abstract contact (Medical Records)
 - iv. The person that gets things done
- b. Agency Activity Data:
 - i. Reporting dates – the date reports were received
 - ii. The number of encounter records submitted per report
 - iii. The number of encounter records added to the system
 - iv. The number of new cases generated
 - v. Date ranges of reported records
 - vi. Reminder sent dates
- c. Agencies are classified into multiple categories:

- i. An agency 'Tier' classification - A designation representing the diagnostic data available to the abstractor at the agency.
- ii. An agency 'Defect Group' classification - A designation representing the diagnostic data available for a specific defect group at the agency.

5.03.26 Agency Reminders

The application will provide a report listing which agencies need to receive reminders. Reminders are sent to reporting agencies based on historical data accuracy and reporting volumes:

- a. Quarter
- b. Bi-Annual
- c. Annual

The report will include:

- a. Agency Name
- b. Contact information
- c. Last report date
- d. Number of records reported

5.03.27 Merge Individual Data

The application will provide a process by which individuals in the system can be compared and matched. New individual records are created through the acquisition of encounter data that do not satisfy the matching criteria during import. Over time the data associated with individuals is updated and becomes more complete, additional aliases are collected, as are name changes, and cities of residence. The application will provide a method to match and merge the two sets of information using the matching process (5.03.10 Name Matching).

Identified matches will be merged into the master record selected by the data manager. The merge process results in a single individual record, which is the combination of the data for each of the original individual records. Merged individual data for each individual is maintained to allow restoration of the original records. The data for each of the individual records is maintained by the application to provide an audit trail, and to allow restoration of each original record if required.

Individual identification numbers are unique to the individual and will remain in the system until purged.

5.03.28 Data, List, Criteria Maintenance

To the extent possible all rule value sets used with the application will be placed in tables to allow appropriate users to modify them. The intent is to develop as flexible a solution as possible to accommodate future program changes. The application contains a number of value sets and criteria used as filters, to group, and aid in system operation. Example: Agencies are classified by 'Tier'. The data manager will have administrative access to maintain the data.

5.03.29 Reporting

The state is interested in a flexible reporting solution that can be used to develop and save queries and output structured and formatted data. The solution will allow multiple users to query the data sets simultaneously. Solutions should be able to produce accurate data that is necessary for oversight, administration, maintenance, quality evaluation, integrity, and transparency. Saved reports should be automatically generated through open interfaces to designated locations, with appropriate audit trails.

Queries/Reports will allow:

- a. Users to develop and save queries and reports to a personal area viewable by the individual State staff.
- b. Query and report availability for all users requires approval by the Data Manager.

- c. The proposed solution will have the capability to limit the records returned for any query, prompt the user when a query is anticipated to return a large number of records, and allow users to set limits on the amount of records returned for a query.

5.03.29.1 General Reporting by Criteria

Reports will be generated based on criteria selected on forms. The lists will be maintained by the Data Manager.

5.03.29.2 System Activity

The application will provide the BR Data Manager the ability to monitor and review all system and application activity.

Reports include:

- a. Transactional volumes for incoming data, accepted / denied records by ICD, agency, child ID and date ranges;
- b. Process execution times for identified processes (data input, file upload, matching (automated and manual), reporting by time and dates;
- c. Report and query activity with execution times;
- d. System Availability, backup status;
- e. Encounter metrics (number of reports, number of unique patients, number reports by ICD code, statute code and condition code) grouped by provider and date;
- f. Abstract activity, number of abstracts, agencies, ICD's, Statute and Condition codes, case status reports, case status;
- g. Additional reports and queries will be developed by the BR staff;

5.03.29.3 System Quality Assessment

It is extremely important to ensure data consistency and accuracy throughout the life of the data in the BR system. The Data Manager will have the ability to compare and review all activity within the application. The contractor will provide reporting to establish the continuing accuracy and reliability of the data and the responsiveness of the application over time. Reports will compare and reconcile all application activity including but not limited to:

- a. Incoming and outgoing data (encounters, abstractions, Vital Statistics, extracts);
- b. Data changes, updates, deletions (new individuals and alias data updates, purged records, merged, and matched records);
- c. System status, internal events and errors;
- d. Application responsiveness;
- e. System transactional volumes;

Reports will be available on demand with user selected criteria and content.

5.03.29.4 Annual Data Extract (report)

On an annual basis data is moved to the system Archive, and to the Reporting Data store. The data is reviewed with the condition review reports above. Any anomalies are resolved prior to data movement.

- a. Data for the closing year is extracted from the active BR data files.
This data is added to the Reporting Data set.
The Reporting Data set is maintained on the State of Alaska network.
- b. All data in the BR for the closing year is added to the Archive data set on the host system and to a parallel copy maintained on the State of Alaska network.
- c. Upon confirmation of the transfers and data accessibility, all data for the closing year is then removed from the active BR files.

5.03.29.5 Abstract Report

See Description in Section 5.03.21 Abstract Report

5.03.29.6 Agency Activity Reminder

This report details reporting agency activity and contact.

Criteria include:

- a. Region
- b. Last contact date
- c. Date of last report
- d. Contact information
- e. Tier group

5.03.30 Interfaces

All interfaces to the application will be browser based and be device independent. The application will operate from Windows® operating system-based touchscreen devices (laptops / tablets). There are four primary interaction points within the application:

5.03.30.1 Input Encounter Data

Input is received from reporting agencies, and the BR data manager. Input to this interface follows two paths. The first is manual entry of encounter data by reporting agency staff. The second is to allow the agency to submit a data file. See Attachment 14: Encounter Import Form, and Attachment 15: Import and Manual Entry provider encounter data entry for the current manual and batch file entry form example.

5.03.30.2 Abstract Activity and Data Maintenance

Allows the abstractor to:

- a. Download and upload Case Verification forms
- b. Input case status and disposition
- c. Update individual demographic data
- d. Review and update individual, case, and encounter data
- e. Develop and save queries based on individual, case and encounter data

5.03.30.3 Import Vital Statistics Data

The interface to import monthly Vital Statistics data sets. The import process must document standard audit parameters for the import process including:

- a. Date of import
- b. Incoming record count;
- c. Count of records added to Vital Statistics data set
- d. Count of records modified in Vital Statistics data set

5.03.30.4 Data Maintenance

Allows the Data Manager to:

- a. Review and maintain encounter data;
- b. Review and maintain agency data;
- c. Review and maintain individual data;
- d. Review and maintain Vital Statistics data;
- e. Review and maintain all lookup and criteria lists;
- f. Review and update ICD tables, Condition and Statute conditions;

- g. Operate the import processes for encounters and Vital Statistics data;

5.03.31 System Documentation

The contractor shall provide comprehensive documentation for the new system and any subsequent modifications. The documents produced will include:

- a. System Design Documents
 - i. System Architecture;
 - ii. Entity Relationship Diagrams / Model(s);
 - iii. System Configuration and Parameters;
 - iv. Data Dictionary;
 - v. Data Design;
 - vi. User Interface Design;
 - vii. Hardware;
 - viii. Software;
 - ix. Backup and Recovery Processes;
- b. Operations Manuals
 - i. Agency Input Process(es) and operations;
 - ii. Abstractor Input Process(es) and operations;
 - iii. Data Manager Process(es) and operations;
 - iv. Query and Report Process(es) and operations;
 - v. System Configuration and Parameters;
 - vi. Maintenance Process(es) and operations;
- c. Online help and appropriate error messages for all forms and processes
 - i. To the extent possible, error messages should inform users how to proceed to resolve an error condition

5.04 Technical Requirements

5.04.1 Hosting

Proposals for hosting the ABDR solution outside the State network require the vendor to be fully responsible for any and all security mechanisms within their environment. Including encrypting and securing any HIPAA data. Vendor will adopt the latest security measures available to prevent unauthorized access.

The vendor is also responsible for server patching and providing a security plan to our state security office and department security offices. The vendor would assume the responsibility for any and all authentication and account creations or modifications.

5.04.2 Software Components and Development Platform

The vendor will use the State of Alaska - Health and Social Services IT Standards for the development and deployment of this application. The vendor must state which version the application components are designed in and how this solution will be accessed in the DHSS environment.

The current standards are as follows:

| Component | DHSS Standard |
|---------------------------------|--|
| Operating Systems | Microsoft Windows Server and Microsoft Windows on Desktops |
| Database | Microsoft SQL Server 2008 R2 or greater |
| Reporting | Microsoft SQL Reporting Services |
| Framework/ Platform | Microsoft .NET, Microsoft's Internet Information Service (IIS) Version 7 or greater |
| Front End/ Programming Language | C# |
| Authentication | Active Directory authentication for internal applications using the department hosted DHSS domain. |
| Web Browser | Microsoft Internet Explorer (must work with IE version 9-11) |
| Collaboration | Microsoft Office Sharepoint Services (MOSS) |
| Work Flow/System Integration | Microsoft Office Sharepoint Workflows / Microsoft BIZTALK |

5.04.3 Data Ownership and Application License

Ownership of the Alaska Birth Defects Registry (ABDR) – Licensing Agreement

The contractor agrees that in addition to all other rights set forth in this section the State shall have a nonexclusive, royalty-free and irrevocable license to reproduce, otherwise use, publish, and authorize others to use all software, procedures, files and other documentation comprising the ABDR at any time during the period of the contract and thereafter. The contractor agrees to deliver such material to the State within 20 business days from receipt of the request by the State. Such request may be made by the State at any time prior to the expiration of the contract. The license shall include, but not be limited to:

- i. All ABDR and supporting programs in the most current version;
- ii. All scripts, programs, transaction management or database synchronization software and other system instructions for operating the system in the most current version;
- iii. All data files in the most current version;
- iv. User and operational manuals and other documentation;
- v. System and program documentation describing the most current version of the system, including the most current versions of source and object code;
- vi. Training programs for the State and other designated State staff, their agents, or designated representatives, in the operation and maintenance of the system;
- vii. Any and all performance-enhancing operational plans and products, exclusive of equipment; and
- viii. All specialized or specially modified operating system software and specially developed programs, including utilities, software and documentation used in the operation of the system.

Ongoing upgrades of the application software must be provided through the end of the contract.

Any other specialized software not covered under a public domain license to be integrated into the system must be identified as to its commercial source and the cost must be identified in the Cost proposal.

The State may, at its option, purchase commercially available software components itself.

The contractor must convey to the State, upon request and without limitation, copies of all interim work products, system documentation, operating instructions, procedures, data processing source code and executable programs that are part of the system, whether they are developed by the employees of the contractor or any subcontractor as part of this contract or transferred from another public domain system or contract.

The provision of this section related to Ownership of the ABDR must be incorporated into any subcontract that relates to the development, operation or maintenance of any component part of the system.

Ownership of Information and Data

The State shall have unlimited rights to use, disclose or duplicate, for any purpose whatsoever, all information and data developed, derived, documented, installed, improved or furnished by the contractor under this contract. All files containing any ABDR information are the sole and exclusive property of the State. The contractor agrees not to use information obtained for any purposes not directly related to this contract without prior written permission from the State. Contractor agrees to abide by all federal and State confidentiality requirements.

Guaranteed Access to Software

The State shall have full and complete access to all source code, documentation, utilities, software tools and other similar items used to develop/install the proposed ABDR or may be useful in maintaining or enhancing the equipment and ABDR after it is operating in a production environment. For any of the above-mentioned items not turned over to the State upon completion of the installation, the contractor must provide a guarantee to the State of uninterrupted future access to, and license to use, those items. The guarantee must be binding on all agents, successors and assignees of the contractor and subcontractor. State access to source code may be protected by use of a third party escrow account. If an escrow account is used, the terms must include at a minimum:

- i. Update of the source code in escrow as often as required for the source code to reflect the current version of each application of the software licensed by the State;
- ii. The State has the right to view or access the source code to:
- iii. Verify the source code's completeness and readability of the media;
- iv. Obtain a copy of the source code in the event of a filing of Bankruptcy where the vendor is no longer able to provide acceptable service;
- v. Obtain a copy of the source code if the vendor ceases to do business completely, or to do business in the vital records marketplace.

The guarantee must be binding on all agents, successors and assignees of the contractor and subcontractor.

The State reserves the right to consult legal counsel as to the sufficiency of the licensing agreement and guarantee of access offered by the contractor.

Federal Rights

The federal government reserves a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, or otherwise use, and to authorize others to use, for federal government purposes, the copyright in any work developed under a grant, sub-grant, or contract under a grant or sub-grant or any rights of copyright to which a contractor purchases ownership.

5.04.4 Data Retention

The Vendor will receive reports and maintain all data in the Registry application for all reported individuals until age 7. Records will be removed from the data as a part of the Annual Data Extract process Sec. 5.03.29.4 Annual Data Extract

Records in the active Registry data set for the application are maintained on a rolling basis i.e. data is collected on a continual basis, and purged on an annual basis based on an individual's age.

5.04.5 Application Platform and Software Development

- a. Software development will be completed in a manner to successfully address the CWE/SANS Top 25 Most Dangerous Programming Errors.
- b. Development Environment
 - I. Secure Coding - The Vendor shall disclose what tools are used in the software development environment to encourage secure coding.
 - II. Disclosure - The Vendor shall document in writing to the Purchaser all third party software used in the software, including all libraries, frameworks, components, and other products, whether commercial, free, open-source, or proprietary.
 - III. Evaluation - The Vendor shall make reasonable efforts to ensure third party software meets all the terms of this agreement and is as secure as the custom developed code developed under this agreement.

5.04.6 Security Controls

5.04.6.1 Security Plan

The Contractor will develop and submit:

- a. A complete State Security Plan Framework (Attachment 23: Security Standards – NIST800-53 Controls) for review and approval by the state.
- b. The Security Plan (Attachment 24: Security Standards – Security Plan Template) shall be compliant with, and reference (where appropriate) all State (enterprise) and DHSS IT Security Policies and all applicable State and Federal IT legislation. The State will facilitate the development and approval of the plan. See Section 4.02.6

The Master Project Management Plan will detail the contractor's approach to all facets of security in relation to the proposed application. They will include listings of detailed tasks with task descriptions and schedules. The contractor shall submit to the State Project Manager draft versions of each Security plan for review and comment within four (4) weeks of the project's initiation. State comments shall be returned to the Contractor two weeks later. Contractor shall submit a final Security Plan within two (2) weeks of receipt of State's comments on the draft Security plan.

5.04.6.2 Business Associate Agreement

The DHSS Business Associate Agreement must be signed at contract award in accordance with NIST SP800-53 compliance for HIPAA.

5.04.7 Integration Controls

If used, integration controls must be put in place for passing data either via the Health Information Exchange (HIE) or the Department's BizTalk Enterprise Service Bus (ESB).

5.04.8 Desktop Access

The vendor must delineate the desktop access requirements by the hosted application. Note:

- a. Applications delivered via Web software should be browser version- and device-independent.
- b. State staffs do not have administrative rights for their machines. If there are specific active X, or plugins they must be kept patched and must be identified. The process and method for updating and syncing desktops must be provided.

- c. Software should not be dependent on a specific version of MS Office Suite. We are currently at 2010 – but we move the organization as a whole for the Department upgrades – not just the ABDR office.

5.04.9 MITA/NHSIA Requirements

The proposal must respond to the questions on how their solution addresses or does not address the MITA 7 conditions. See Sec. MITA/NHSIA Condition MITA/NHSIA Condition and 6.02.3 MITA/NHSIA and IT Roadmap Requirements MITA/NHSIA and IT Roadmap Requirements.

5.05 Product Design Phase

The Product Design Phase involves providing information to the State on how the product will be implemented. This includes performing a business requirements analysis. Activities and Tasks as well as State staff task responsibilities for dependencies should be added to the Master Project Work Plan/Schedule. This phase includes ongoing status reporting and meeting tasks.

5.05.1 Product Design/Configuration Plan

The contractor shall deliver Product Design/Configuration Plan as the Design planning document for the product of the project.

Activities and Tasks as well as State staff task responsibilities for dependencies should be added to the Master Project Work Plan/Schedule.

The Product Design/Configuration Plan will detail the contractor's approach to the configuration and architecture modifications of the Product and the associated activities that need to be performed..

The contractor shall submit to the State Project Manager draft versions of the Product Design/Configuration Plan which includes the design documents for review and comment. A final Product Design/Configuration Plan shall be produced and submitted based on the review and comments on the draft plan.

All product design documents and reports will be reviewed and approved by the State prior to the initiation of project tasks to perform activities associated with product design.

5.05.2 Business Requirements Document

The contractor shall meet with MCH-EPI staff onsite in Anchorage to discuss, define, refine, and confirm the requirements for modifications to the new system (i.e., System Modification Meetings). This will include a detailed walk-through of the proposed system to determine what customizations will be required, as well as what tables and Alaska-specific field values need to be determined. The contractor is responsible for setting up the necessary environment and/or tools to perform the analysis. The contractor's project manager and other key technical personnel shall attend the meetings appropriate to their area of expertise. The contractor will also provide staff to take notes and document decisions from these meetings.

The outcome of the Business Requirements Analysis / system modification meeting(s) will be:

- a. Identifying business and system requirements that are satisfied by the contractor's solution;
- b. Identifying business and system requirements that are not satisfied by the contractor's solution;
- c. Describing modifications that will be required to meet stated requirements, including any associated costs for requirements identified during the analysis that were not part of the contract;
- d. An application schema with structures and linkages;
- e. Mockups of forms and reports;
- f. Updated business process flows.

5.05.3 System Test Plan

This System Test Plan describes each type of testing that will be performed. The plan will include the sequence and resources for each type of testing (for both Contractor, and State resources), provides exit criteria for each testing type, and criteria for system acceptance.

The plan will include any required equipment setup, application installations, and software setup for each type of test. The plan should also provide the schedule for User Acceptance Testing (UAT).

The test plan will identify the process for reporting, tracking, and resolving identified issues/defects in the application during development, UAT, and after application rollout. (Note: This testing and defect tracking should also be consistent with the management of Section 5.06.5 Test deliverables.)

5.05.4 Data Conversion Plan

Legacy data will be converted and uploaded to the new application. The State and the Contractor will identify the appropriate data to convert. The Contractor will identify data anomalies (inconsistent entries). The state will provide direction as to mitigation. The intent is to convert all legacy data for individuals received after 01/01/2006. No Medicaid data will be converted. The Contractor will develop and submit a Data Conversion Plan. The Contractor will provide transactional reporting (in and out record counts) for all major steps in the process. The state will confirm the conversion by sampling the data.

The Data Conversion Plan includes both the approach for data conversion and the approach for testing of the data conversion. The final System testing for the product should include converted data. This plan contains information on sources of data, quality of data, estimated effort for:

- a. The data conversion approach;
- b. The method(s) used to identify and clean existing data sets;
- c. The process for converting data (e.g., the process to be used to convert data from the data sources into the product database using any data conversion utility/tool sets);
- d. The data verification process, including activities to be performed by State staff;
- e. The instructions to be used to test and confirm the results of the Data Conversion Process.

The contractor will develop and submit a Data Conversion Plan that describes the process to be used to move the required data from the existing system to the new system and the process that the State will use to validate that the data in the new system is complete and accurate. The Data Conversion plan will include:

- a. Data conversion and migration objectives
- b. Tools and techniques used in the data conversion and migration process
- c. Roles and responsibilities for data conversion and migration including State roles and responsibilities
- d. Data issues and resolutions
- a. Data validation methodology, including but not limited to providing the State with:
 - i. Record counts for all major steps on the conversion process
 - ii. Summary of problems encountered and steps to resolve these problems
 - iii. Recommendations regarding solutions of un-converted records
 - iv. Total records not successfully converted: provide a detailed listing of these records for analysis by WCFH to determine mitigation strategy and process

5.05.5 Product Design Completion

All deliverables called out for the Product Design Phase are required to be delivered, reviewed, updated and approved by the State project manager prior to the commencement of development work.

Although described here in a linear manner, the state understands that development work will commence immediately upon acceptance of the design document of each application component.

5.06 Product Development Phase

The Product development phase consists of all activities that occur to create, test and deliver the finished application. The state understands that there will be significant overlap in activities during the development phase of the project.

5.06.1 Development Initiation

Due to the overlap of tasks in the project, the contractor and State project manager will schedule appropriate time to review the contractors proposed schedule, resources, and resource tasking for the major components of the application. The contractor shall provide a memorandum documenting any decisions and outcomes of the meeting(s). These topics may be included with the regular weekly meetings.

5.06.2 System Development, Modification, Testing

The contractor shall develop a system to reflect Alaska's requirements and configuration rules. This application will be a rules based, data driven application.

Anticipated enhancements and modifications include, but may not be limited to, the functions of the application described beginning in section 5:

- a. Receive and Process encounter Data
- b. Receive and Process Vital Statistics Data
- c. Abstraction Data Acquisition and Maintenance
- d. Agency information, reminder, and activity tracking
- e. Merge Individuals
- f. Data Maintenance
- g. Reporting

5.06.3 Data Conversion

The State anticipates the need to convert all legacy data including Vital Statistics data for individuals received after 01/01/2006. No Medicaid data will be converted. Older data related to individuals need not be converted. The contractor shall convert this data from the current ABDR database to the correct format and load the data into the new system.

Data Conversion Testing will require that the data conversion programs are executed and produce data validation reports/exports as many times as required to ensure that the import is successful and that the files can continue to be imported from the legacy systems after data conversion is complete. Data conversion programs must be fully tested prior to the beginning of User Acceptance Testing (UAT) so that users can work with a populated database during UAT.

5.06.4 Test

The Contractor is responsible for all unit, module, and integration testing. Testing the application will occur concurrently with the development cycle. The BR staff will conduct UAT upon delivery of completed components of the new application.

The contractor will provide testing results and progress reporting at the weekly project status meeting.

5.06.4.1 UAT Test Scripts

The contractor shall provide test scripts and or scenarios that provide step-by-step instructions for testers to follow to test all system functionality. Scripts and testing scenarios will be provided in Excel and must be sufficiently detailed to allow BR staff to carry out testing from an untrained user perspective and determine the accuracy of

results. The contractor shall set up all data for cases that require pre-loaded data in the system to allow for the testing.

The contractor shall schedule testing and adjust the test environment appropriately to allow for any system data changes needed to test time-related functions (such as age criteria, and date of service). The State shall review the test scripts to ensure function testing, prior to the initiation of UAT. The BR staff may develop scripts to be used during UAT; the contractor shall be responsible for supporting the use of the additional scripts.

5.06.4.2 Support UAT and System Revision

Prior to making the system available for UAT, the contractor shall perform internal testing and certify that the system is ready for UAT. If errors are identified in the internal testing, the system should not be certified and UAT will not proceed until the errors are resolved. The system, as delivered by the contractor for UAT, is expected to be fully functional, and contain no known critical errors. The UAT is expected to use actual client data from the legacy system as some test data.

The UAT must include tests of all system functions resulting in minimal error as defined in the accepted test plan of this RFP. Errors in this context include errors identified in any portion of the new application (in the code, process functionality, documentation, and/or online help). UAT shall include a test of data conversion and confirmation of transaction performance. It is assumed that the UAT can be completed in two rounds: one to uncover any errors and a second after modification and internal contractor testing to verify that any errors identified have been fixed and that no new errors have been introduced. This requires that the contractor not only fix the errors identified in round one, but also run the resulting system through their system qualification test prior to delivering it for the second round of UAT.

UAT will be continued until the above process is completed successfully. The contractor will be available at their development facilities for consultation and problem resolution for the duration of the test. The contractor shall make all required corrections and revisions to the system resulting from the acceptance testing process. System retesting shall be conducted as required. If the UAT exhibits any failures, the system will be returned to the contractor for revisions.

During UAT, the user manuals and online help will also be evaluated. Reference materials must reflect system configurations appropriate to the Alaska Birth Defects Registry. The UAT procedures will instruct the testers to reference the user manuals and / or online help for directions regarding how to perform the required actions. Any inadequacies or omissions in the manuals must be corrected prior to final acceptance of the system by the State.

5.06.5 System Documentation

The contractor shall provide updates to all documentation of the system to reflect all changes made during the UAT, and rollout phases including any modifications to:

- a. System Design Documents
 - i. System Architecture
 - ii. Entity Relationship Diagrams / Model(s)
 - iii. System Configuration and Parameters
 - iv. Data Dictionary
 - v. Data Design
 - vi. User Interface Design
 - vii. Hardware
 - viii. Software
 - ix. Backup and Recovery
- b. Operations Manual
 - i. Agency Input Process(s) and operations;
 - ii. Abstractor Input Process(s) and operations;
 - iii. Data Manager Process(s) and operations;

- iv. Query and Report Process(s) and operations;
- v. System Configuration and Parameters;
- vi. Maintenance Process(s) and operations;
- c. On line help and appropriate error messages for all forms and processes

5.07 Training

The Contractor shall provide a Training Plan and train the state staff prior to the commencement of UAT based on the manuals and documentation developed. The training shall address:

- a. Abstractor Input Process(es) and operations;
- b. Data Manager Process(es) and operations;
- c. Query and Report Process(es) and operations;
- d. System Configuration and Parameters;
- e. All Maintenance Process(es) and operations;
- f. All Data purging operations;
- g. Using the online help facility;
- h. Weekly and Monthly process(es);

5.08 System Finalization - Development Completion

Upon successful completion of the user acceptance testing, the contractor will finalize all components of the system, including:

- a. Demonstrate the backup and restore capability;
- b. Provide a rollback procedure for use in the event of a system failure;
- c. Resolve all critical issues prior to placing the system in production;
- d. Establish Support and Help Desk Procedures;

5.08.1 Application Certification

The contractor will provide the Alaska Birth Defects Registry with a formal assessment of the system's readiness for production implementation.

5.09 Rollout

Upon approval, the application will be placed in production.

5.10 Post Implementation Support

The contractor will provide an Implementation Plan and provide support to the State during the implementation. Support may be supplied remotely, and must be supplied by the contractor's project team for fourteen (14) days after full production implementation. Response times may not be in excess of 120 minutes from the time a call is placed by the State to the contractor, within normal State of Alaska working hours. Support will include:

- a. Assisting users with understanding the functionality and practical use of the system;
- b. Identifying errors in the system;
- c. Provide action plan(s) and resolution timeline for all issues;
- d. Evaluating system effectiveness against the established go live criteria;

The contractor will be responsible for fine-tuning and supporting the new system. The contractor will monitor the performance of the new system and perform modifications when necessary during this phase of the project. The BR Staff will evaluate the implementation and make recommendations for further improvements.

5.10.1. Delivery of Final Documents

Within 15 days of the completion of rollout, the contractor shall deliver a Post Implementation Evaluation to the State Project Manager. This evaluation will review the issues encountered during rollout and the actions taken to resolve them. In addition the evaluation will provide an assessment of the system function, known issues and their status.

Within 30 days of the completion of rollout, the contractor shall deliver all work product, final documentation, source code, process flows, diagrams, and other materials developed in the course of the project to the State Project Manager.

The contractor shall provide verification that specifies all software, policies, security requirements, procedures, reporting, and equipment are functioning as planned and that all documentation is complete and has been received and approved by the State Project Manager.

5.10.3 Warranty and Maintenance

The contractor will warrant that the system is free of material defects. In the event that material defects are discovered, the contractor will fix them at no additional cost to the State for a period of 6 months (six months warranty period). In the event that significant defects are discovered, the State at its discretion can restart the warranty period to the point in time when the defects were resolved to the State's satisfaction.

The contractor shall correct any system problems identified and provide any system modifications at no additional cost to ensure the complete functionality as required by this RFP, the Product Design and Business Requirements Document (identified in Section 5.05.2 and the contract between the State of Alaska and the contractor. All system problems reported during the warranty period are included under this provision, even if their repair extends beyond the year.

The contractor must provide during the warranty period support services that include:

- a. Application support (issue management via email)
 - i. Support must be available Monday through Friday 8 AM – 4 PM Alaska time for all State of Alaska work days (email notification is sufficient);
 - ii. Contractor will respond to any critical issues within 24 hours;
 - iii. Contractor will respond to any non-critical issue within 48 hours;
- b. Issue management is a continuation of the development issue management process;
- c. Issue response will include;
 - i. Assessment of the impact of the issue to the application;
 - ii. Workarounds if available;
 - iii. An estimate of the time to resolve the issue;
- d. Contractor will be responsible for all cost for the licensing, purchase, application, and testing of all updates, upgrades, and patches to the software packages used to deploy, operate, and maintain the application;
- e. All updates or changes to the application shall be delivered to the State when the update is placed in production.
- f. Updated application documentation
 - i. The contractor will update documentation to reflect all changes to the function and operation of the system within 30 days of any change;
 - ii. Online documentation will be updated to reflect all changes to the system processes within 30 days;

5.11 Continuing Operations and Maintenance

Continuing Operations and Maintenance Activities go into effect after the Warranty and Maintenance activities are complete. At least 30 days prior to the expiration of this contract, the State will address the potential need for ongoing maintenance and support.

The Contractor will provide a Post System Maintenance Support Agreement and Ongoing Operation Maintenance Plan. The Contractor will work with the State to ensure appropriate project Handoff and Closeout occurs and transitions to Ongoing support activities and identifies how defects, enhancements, and issues will be handled.

5.12 Deliverables

The following table presents the deliverables that will be required of the contractor. All deliverables will require an official submission by the Contractor to the State project manager. The State project manager will review and provide comments to the Contractor on all submissions. The Contractor will review and address the comments. Contractor will then submit a final version for approval to the project.

The phases of this project are described in Section 5.4 and below. These phases are natural checkpoints in the project.

| Deliverable # | Deliverables | | | |
|---------------|-------------------|-----------------------------------|--|---|
| Phase I | | | | |
| | Section Reference | Deliverable | Description | Time Frame |
| 1 | 5.02.2 | Project Initiation Meeting & Memo | <ul style="list-style-type: none">▪ Minutes and Outcomes Memorandum | Minutes and Outcomes Memorandum to be submitted within 5 days of the project initiation meeting |
| 2 | 5.02.3 | Project Management Plan | <ul style="list-style-type: none">▪ Project Scope Management▪ Project Work Plan/Schedule▪ Quality Management▪ Schedule Management▪ Change Management▪ Communications▪ Staffing Management, including roles and responsibilities and subcontractor management▪ Communication Management▪ Risk Management▪ Issue Management | Within 10 days of project initiation meeting |
| 3 | 5.02.4 | Project Meetings and Reporting | <ul style="list-style-type: none">▪ Weekly▪ Monthly | |
| 4 | 5.04.6 | Security Controls | <ul style="list-style-type: none">▪ Attachment 23 Security Standards - NIST800-53 Controls▪ Attachment 24 Security Standards – Security Plan Template | Draft delivery within four weeks of project initiation |
| 5 | 5.05.1 | Planning Documents | <ul style="list-style-type: none">▪ Business Requirements Document▪ System Testing Plan | |

| | | | | |
|----|-----------|----------------------------|--|--|
| | | | <ul style="list-style-type: none"> ▪ Data conversion Plan | |
| 6 | 5.06.1 | Development Initiation | <ul style="list-style-type: none"> ▪ For Each Major application Component: <ul style="list-style-type: none"> ▪ Approach ▪ Schedule and Timeline ▪ Sequence | |
| 7 | 5.06.2. a | Encounter data | <ul style="list-style-type: none"> ▪ Manual and Batch input ▪ Acceptance Criteria ▪ Update agency, condition and matching information ▪ New Individuals | |
| 8 | 5.06.2. b | Vital Statistics | <ul style="list-style-type: none"> ▪ Match to individuals and modifications | |
| 9 | 5.06.2. c | Abstraction | <ul style="list-style-type: none"> ▪ Case verification forms ▪ Data input, agency maintenance ▪ Reporting | |
| 10 | 5.06.2. d | Agency Maintenance | <ul style="list-style-type: none"> ▪ Points of contact ▪ Activity tracking ▪ Reminders ▪ Maintenance | |
| 11 | 5.06.2. e | Merging Individual Records | <ul style="list-style-type: none"> ▪ Matching all individual records | |
| 12 | 5.06.2. f | Data Maintenance | <ul style="list-style-type: none"> ▪ Review and maintain agency data; ▪ Review and maintain individual data; ▪ Review and maintain Vital Statistics data; ▪ Review and maintain all lookup and criteria lists; ▪ Operate the import processes for encounters and Vital Statistics data; | |
| 13 | 5.06.2. g | Reporting | <ul style="list-style-type: none"> ▪ System Activity ▪ Transactional Activity ▪ Open Abstract Report ▪ Agency Reminders ▪ Flexible Interface | |
| 14 | 5.06.3 | Data Conversion | <ul style="list-style-type: none"> ▪ The method(s) used to identify and clean existing data sets; ▪ The process for converting data (e.g., the process to be used to convert data from the data sources into the product database using any data conversion utility/tool sets); ▪ The data verification process, including activities to be performed by State staff; ▪ The instructions to test and confirm the results of the Data Conversion Process. | |
| 15 | 5.06.4 | Test | <ul style="list-style-type: none"> ▪ Development testing ▪ UAT test scripts | |

| | | | | |
|------|--------|---------------------------------|--|--|
| | | | <ul style="list-style-type: none"> ▪ UAT Support and System Revision | |
| 16 | 5.06.5 | System Documentation | <ul style="list-style-type: none"> ▪ System Design Documents ▪ System Architecture ▪ Entity Relationship Diagrams / Model(s) ▪ System Configuration and Parameters ▪ Data Dictionary ▪ Data Design ▪ User Interface Design ▪ Hardware ▪ Software ▪ Backup and Recovery ▪ Operations Manual(s) ▪ Agency Input Process(s) and operations; ▪ Abstractor Input Process(s) and operations; ▪ Data Manager Process(s) and operations; ▪ Query and Report Process(s) and operations; ▪ System Configuration and Parameters; ▪ Maintenance Process(s) and operations; ▪ Online help and appropriate error messages for all forms and processes ▪ Help Desk and Support Procedures | |
| 17 | 5.07 | Training | <ul style="list-style-type: none"> ▪ Agency Input Process(s) and operations; ▪ Abstractor Input Process(s) and operations; ▪ Data Manager Process(s) and operations; ▪ Query and Report Process(s) and operations; ▪ System Configuration and Parameters; ▪ Maintenance Process(s) and operations; ▪ Data purging operations; ▪ Online help facility | |
| ▪ 18 | 5.10.1 | Delivery of Final Documentation | <ul style="list-style-type: none"> ▪ Rollout + 30 Days ▪ Includes all Work Product | |
| 19 | 5.10.2 | Contract Closure | <ul style="list-style-type: none"> ▪ All Development and deployment activities complete | |

Phase 2

▪

| | | | | |
|------|--------|--------------------------|---|--|
| ▪ 20 | 5.10.3 | Warranty and Maintenance | <ul style="list-style-type: none">▪ Warranty period from system acceptance▪ Application Support▪ Updates and upgrades to software applications and data systems▪ Updated documentation for changes | |
| 21 | 5.11 | Continuing Operations | <ul style="list-style-type: none">▪ Operating system and Security Patching▪ Notification of plugin and browser requirements for desktop updates | |

SECTION SIX PROPOSAL FORMAT AND CONTENT

6.01 Proposal Format and Content

The State discourages overly lengthy and costly proposals, however, in order for the State to evaluate proposals fairly and completely, offerors must follow the format set out in this RFP and provide all information requested.

6.01.1 Introduction

Proposals must include the complete name and address of offeror's firm and the name, mailing address, and telephone number of the person the state should contact regarding the proposal.

Proposals must confirm that the offeror will comply with all provisions in this RFP; and, if applicable, provide notice that the firm qualifies as an Alaskan bidder. Proposals must be signed by a company officer empowered to bind the company. An offeror's failure to include these items in the proposals may cause the proposal to be determined to be non-responsive and the proposal may be rejected.

6.02 Understanding of the Project

Offerors must provide comprehensive narrative statements that illustrate their understanding of the requirements of the project and the project schedule.

6.02.1 Business and Product Requirements

- a. The offeror shall respond to the Scope of work and deliverables included above in Section Five.
- b. The Offeror shall respond to Attachment 21: Feature List
- c. The Offeror must verify that all of its' staff, and all subcontracted staff who will have access to protected health information (PHI) for DHSS will receive HIPAA Privacy and Security Training before they are provided access to PHI.

6.02.2 Technical Requirements

- a. The Offeror shall describe its technical approach to the design, construction, testing, and implementation of the system.
 - I. The technical approach discussion shall demonstrate an understanding of the functional ABDR environment and the requirements in Section 5 above.
 - II. All technical requirements will be addressed See Sec. 5.04 Software Components and Development Platform

6.02.2.1 State WAN and Bandwidth

- a. Given the State WAN and Bandwidth constraints what performance degradations do you see if any that will impact the use of your solution?
- b. If there are any performance issues, what mitigation would you propose?

6.02.2.2 Off-site Hosting

- a. What physical security controls do you have in place for the environment in which you are hosting the ADBR solution?
- b. What security controls do you have in place for encryption?
- c. What is your security and operating system cycle for patching?
- d. How frequently do you roll out releases?
- e. What security controls do you have for your 3rd party plugins?
- f. Does this application allow user-defined file purge or archive of data criteria?
- g. What browsers are optimal for your solution (and version of browser), as well as those browser in which your solution performs poorly?
- h. What browser settings and add ins will be needed for the solution?
- i. What is the process for maintaining browser versioning in sync with security patching? How do you notify the user?

6.02.2.3 Security Controls

- a. Explain at a high-level how the vendor and proposed system will comply with each of the following families of issues:

| CLASS | FAMILY | IDENTIFIER |
|-------------|--|------------|
| Management | Risk Assessment | RA |
| Management | Planning | PL |
| Management | System and Services Acquisition | SA |
| Management | Certification, Accreditation, and Security Assessments | CA |
| Operational | Personnel Security | PS |
| Operational | Physical and Environmental Protection | PE |
| Operational | Contingency Planning | CP |
| Operational | Configuration Management | CM |
| Operational | Maintenance | MA |
| Operational | System and Information Integrity | SI |
| Operational | Media Protection | MP |
| Operational | Incident Response | IR |
| Operational | Awareness and Training | AT |
| Technical | Identification and Authentication | IA |
| Technical | Access Control | AC |
| Technical | Audit and Accountability | AU |
| Technical | System and Communications Protection | SC |

6.02.2.4 Integration Control Deliverables

- a. Describe your API process for how data sets can be uploaded and downloaded from your system?

6.02.2.5 Patches and Updates

- a. What process will you use to provide notification of patches and updates that affect security, including a list of issues that were addressed with the update?
- b. What process will you use to apply, test and validate the appropriate patches and updates?

6.02.3 MITA/NHSIA and IT Roadmap Requirements

Given the MITA/NHIA and IT Roadmap vision provided in Section 5.04.9. and Attachment 25: Alaska Department of Health and Social Services Enterprise Roadmap, please respond to the following questions:

6.02.3.1 Modularity Standard

Refer to section 4.03.1. Modularity and Attachment 25 Alaska Department of Health and Social Services Enterprise Roadmap the for responding to the following questions:

- a. Explain how the system provides modularity such that functionality changes can be made to the system independent from the base functions and deployed without affecting custom functionality within the base system.
- b. Explain how the proposed system is built on a Service Oriented Architecture (SOA) so that functionality is divided into smaller components and similar services are or can be shared.
- c. Explain how the system will be developed with the use of a defined Software Development Lifecycle (SDLC) methodology such that there are distinct, well-defined phases for Inception through Close-Out. Describe the methodology that will be used (Waterfall, Agile, etc.) and provide details about each phase of the SDLC.
- d. Describe your use of a Business Rules Engine (BRE) as either a shared service or functionality such that the BRE can act as the central repository of rules for the Alaska Birth Defects Registry.

6.02.3.2 MITA Condition

Refer to section 4.03.2. MITA/NHSIA Condition and Attachment 25: Alaska Department of Health and Social Services Enterprise Roadmap for responding to the following questions:

- a. Provide written response that demonstrates an understanding of the Alaska (AK) Department of Health and Social Services (DHSS) Enterprise Roadmap.
- b. Explain how the proposed system is in adherence to and alignment with the AK DHSS Enterprise Roadmap.

6.02.3.3 Industry Standard Condition

Refer to section 4.03.3. Industry Standard Condition and Attachment 25: Alaska Department of Health and Social Services Enterprise Roadmap for responding to the following questions:

- a. Identify all industry standards relevant to the Scope of Work for this project.
- b. Identify how the project will incorporate the standards identified above in the Scope of Work.

6.02.3.4 Leverage Condition

Refer to section 4.03.4. Leverage Condition and Attachment 25: Alaska Department of Health and Social Services Enterprise Roadmap for responding to the following questions:

- a. Identify services included in the proposed solution that can be exposed for reuse by the Department's existing enterprise systems.
- b. Describe the process required for the proposed solution to reuse existing Department enterprise shared services to meet requirements of this RFP, describe impacts to the proposed project schedule and budget compared with using services included in the proposed solution.

- c. Describe the process required to expose services included in the proposed solution for reuse by existing Department systems, include impacts to the proposed project schedule and budget if services are exposed for sharing.
- d. Estimate the impact to the Department's existing enterprise architecture, including the BizTalk ESB and the level of effort required if services included in the proposed solution are exposed for reuse.

6.02.3.5 Business Results Condition

Refer to section 4.03.5. Business Results and Attachment 25: Alaska Department of Health and Social Services Enterprise Roadmap for responding to the following questions:

- a. Explain the requirements process to be used for this project.
- b. Explain the requirements traceability to be used for this project.

6.02.3.6 Reporting Condition

Refer to section 4.03.6. Reporting Condition and Attachment 25: Alaska Department of Health and Social Services Enterprise Roadmap for responding to the following questions:

- a. Describe how the proposed system will produce transaction data, reports, and performance information required for program evaluation, continuous improvement in business operations, and transparency and accountability.
- b. Describe the type and details of data provided by the proposed system that enables oversight, administration, evaluation, integrity, and transparency.

6.02.3.7 Interoperability Condition

Refer to section 4.03.7. Interoperability Condition and Attachment 25: Alaska Department of Health and Social Services Enterprise Roadmap for definitions and for responding to the following questions:

- a. Identify areas of the proposed system that provide **foundational** interoperability, as applicable to the Scope of Work, and describe how the system provides this functionality.
- b. Identify areas of the proposed system that provide **structural** interoperability, as applicable to the Scope of Work, and describe how the system provides this functionality
- c. Identify areas of the proposed system that provide **semantic** interoperability, as applicable to the Scope of Work, and describe how the proposed system provides this functionality
- d. Describe the proposed system's ability to interface with federal data services hubs, if applicable to the Scope of Work
- e. Describe the proposed system's interoperability with health information exchanges (HIEs), if applicable to the Scope of Work

6.03 Methodology Used for the Project

Offeror must provide comprehensive narrative statements that set out the methodology they intend to employ and illustrate how the methodology will serve to accomplish the work and meet the State's project schedule.

Offeror must describe their approach to requirements traceability and verification, system configuration and modification, testing, training, and data conversion. They must describe the System Life Cycle Methodology to be

utilized to complete the work under this contract, as well as what would be established under the maintenance and operation support.

The description must include the Offeror's approach and methodology for:

- a. Requirements gathering and verification
- b. Design and Configuration Data Conversion
- c. Testing
 - 1) Testing of application
 - 2) Testing of data conversion
 - 3) Testing of browser access
 - 4) Testing of interfaces
 - 5) Support for User Acceptance Testing
- d. Classifying data elements of solution and developing system
- e. Security Plan Training
- f. Implementation/Go Live
- g. Releases after Go Live
 - 1) Frequency of new releases after go live
 - 2) Process used to determine what features will be included in each release
 - 3) Support provided to clients during and after upgrade to the new release
- h. Helpdesk response interaction
- i. Policy regarding mandatory upgrade to new releases
- j. Policy regarding client notification of potential impacts of new releases to the client's system; and
- k. Method that is recommended to keep changes to the configuration or tables made by the customer from interfering with the application of new releases.

6.04 Management Plan for the Project

Offeror must provide comprehensive narrative statements that set out the management plan they intend to follow and illustrate how the plan will serve to accomplish the work and meet the state's project schedule.

The Offeror is required to submit a preliminary project work plan as part of this proposal which includes:

- a. A Microsoft (MS) Project Schedule that shows all proposed project activities;
- b. Milestones;
- c. Any State activity interdependencies;
- d. Resource requirements for each task (whether a DHSS resource or Contractor resource);
- e. Estimated timeframe to complete each task identified in the Scope of Service;
- f. State review times as identified in the Scope of Services; and,
- g. Alaska Project specific tasks and timeframe from project start to completion for both contractor and State activities.

The Offeror must state how they will incorporate the preliminary plan into the updated project deliverables as the project moves forward.

The Offeror must also provide a narrative for their Project Management Methodology that they will be following and how the requirements traceability will be assigned to the scheduled deliverable milestones and how they will update plans and schedules while monitoring the work progress.

6.05 Experience and Qualifications

Offerors must provide an organizational chart specific to the personnel assigned to accomplish the work called for in this RFP; illustrate the lines of authority; designate the individual responsible and accountable for the completion of each component and deliverable of the RFP.

Offerors must provide a narrative description of the organization of the project team and a personnel roster that identifies each person who will actually work on the contract and provide the following information about each person listed:

- a. Project Assignment,
- b. Resume,
- c. Work Location(s),

The Offeror's proposed project team must meet the minimum qualifications set forth in Section Two.

Offerors must provide reference names and phone numbers for similar projects the offeror's firm has completed.

Offerors must provide evidence within their proposal that they meet the minimum requirements specified in 'Minimum Qualifications' along with any certifications and credentials referenced in the resume or their proposal may be found non-responsive and may be rejected.

6.06 Cost Proposal

Please complete the Cost Proposal template in Section Eight (Attachments) of this RFP.

The completed cost proposal, along with any reference to pricing, is to be **excluded** from the body of the offeror's proposal. Instead, it should accompany the proposal in a separate, sealed envelope. Failure to comply with this requirement will result in a proposal rejected as non-responsive.

6.07 Evaluation Criteria

All proposals will be reviewed to determine if they are responsive. They will then be evaluated using the criterion that is set out in Section SEVEN.

An evaluation may not be based on discrimination due to the race, religion, color, national origin, sex, age, marital status, pregnancy, parenthood, disability, or political affiliation of the offeror.

A proposal shall be evaluated to determine whether the offeror responds to the provisions, including goals and financial incentives, established in the request for proposals in order to eliminate and prevent discrimination in state contracting because of race, religion, color, national origin, sex, age, marital status, pregnancy, parenthood, or disability.

SECTION SEVEN

EVALUATION CRITERIA AND CONTRACTOR SELECTION

**THE TOTAL NUMBER OF POINTS USED
TO SCORE THIS PROPOSAL IS 1,000**

7.01 Understanding of the Project (10 Percent)

Proposals will be evaluated against the questions set out below:

7.01.1 Understanding Business Product

- a. How well has the offeror demonstrated a thorough understanding of the purpose and scope of the project?
- b. How well has the offeror identified pertinent issues and potential problems related to the project?
- c. To what degree has the offeror demonstrated an understanding of the deliverables the state expects it to provide?
- d. Has the offeror demonstrated an understanding of the state's time schedule and can meet it?

7.01.2 Understanding Technical Product

- a. How well has the offeror demonstrated a thorough understanding of the Hosting considerations and constraints?
- b. How well has the offeror demonstrated their response for conforming to the security controls necessary to protect the data?
- c. How well has the offeror demonstrated the integration issues and processes to resolve those issues?
- d. How well has the offeror demonstrated their process for patches and updates as well as the notification of the patches and updates?
- e. How well has the offeror demonstrated their compliance with DHSS IT standard technology set per Attachment 22: Alaska Department of Health and Social Services IT Standards?

7.01.3 Understanding IT Roadmap Implications

- a. How well has the offeror demonstrated an understanding of the MITA/NHSIA and IT Roadmap Requirements?

7.02 Methodology Used for the Project (10 Percent)

Proposals will be evaluated against the questions set out below:

- a. How comprehensive is the methodology and does it depict a logical approach to fulfilling the requirements of the RFP?

- b. How well does the methodology match and achieve the objectives set out in the RFP?
- c. Does the methodology interface with the time schedule in the RFP?

7.03 Management Plan for the Project (15 Percent)

Proposals will be evaluated against the questions set out below:

- a. How well does the management plan support all of the project requirements and logically lead to the deliverables required in the RFP?
- b. How well is accountability completely and clearly defined?
- c. Is the organization of the project team clear?
- d. How well does the management plan illustrate the lines of authority and communication?
- e. To what extent does the offeror already have the hardware, software, equipment, and licenses necessary to perform the contract?
- f. Does it appear that the offeror can meet the schedule set out in the RFP?
- g. Has the offeror gone beyond the minimum tasks necessary to meet the objectives of the RFP?
- h. To what degree is the proposal practical and feasible?
- i. To what extent has the offeror identified potential problems?

7.04 Experience and Qualifications (15 Percent)

Proposals will be evaluated against the questions set out below:

Questions regarding the personnel:

- a. Do the individuals assigned to the project have experience on similar projects?
- b. Are resumes complete and do they demonstrate backgrounds that would be desirable for individuals engaged in the work the project requires?
- c. How extensive is the applicable education and experience of the personnel designated to work on the project?

Questions regarding the firm:

- a. How well has the firm demonstrated experience in completing similar projects on time and within budget?
- b. How successful is the general history of the firm regarding timely and successful completion of projects?
- c. If a subcontractor will perform work on the contract, how well do they measure up to the evaluation used for the offeror?

7.05 Contract Cost (40 Percent)

Overall, **40%** of the total evaluation points will be assigned to cost. The cost amount used for evaluation may be affected by one or more of the preferences referenced under Section 2.13.

Converting Cost to Points

The lowest cost proposal will receive the maximum number of points allocated to cost. The point allocations for cost on the other proposals will be determined through the method set out in Section 2.15.

7.06 Alaska Offeror Preference (10 Percent)

If an offeror qualifies for the Alaska Bidder Preference, the offeror will receive an Alaska Offeror Preference. The preference will be 10 percent of the total available points. This amount will be added to the overall evaluation score of each Alaskan offeror.

SECTION EIGHT ATTACHMENTS

8.01 Attachments

Included in this RFP document

Offeror's Checklist
Cost Proposal Form
Proposal Evaluation Form
Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier
Covered Transactions

Attached Separately

Contract Documents:

- 1 Standard Agreement Form
- 2 Appendix A
- 3 Appendix B1 or B2
- 4 Appendix C
- 5 Appendix D
- 6 Appendix E – HIPAA Business Associate Agreement
- 7 Notice of Intent to Award

Application Samples:

- 8 Glossary & Acronyms
- 9 Incoming Encounter Data
- 10 Abstraction Data Acquisition
- 11 Individual Match and Merge
- 12 Sample ABDR Data Files
- 13 Major Data Structures
- 14 Encounter Import Form
- 15 Import and Manual Entry provider encounter data entry
- 16 Match incoming encounter data form
- 17 Import VS Data form
- 18 Child Encounter/Case verification form
- 19 Report Criteria Forms
- 20 ABDR Reporting Guide
- 21 Feature List

Standards and Security:

- 22 Alaska Department of Health and Social Services IT Standards
- 23 Security Standards - NIST800-53 Controls
- 24 Security Standards – Security Plan Template
- 25 Alaska Department of Health and Social Services Enterprise Road Map

OFFEROR'S CHECKLIST

IMPORTANT NOTE TO OFFERORS: This checklist is provided to assist offerors and the Procurement Officer in addressing and/or locating specific requirements identified in the RFP for the offeror's proposal. **Offerors are to complete and return this form.** Completion of this form does not guarantee a declaration of responsiveness.

Offeror: _____

1. Per section 2.12, evidence that the offeror holds a valid Alaska business license.

Evidence is provided on page #_____.

2. Per section 1.04, the budget does not exceed \$200,000.

Evidence is provided on page #_____.

3. Per section 1.16, provide a statement regarding Offeror's Certification.

Evidence is provided on page # _____.

4. Per section 1.17, provide a Conflict of Interest statement.

Evidence is provided on page # _____.

Per section 2.08, evidence that the offeror meets the minimum qualifications:

5. Contractor must demonstrate in writing they have a minimum of five (5) years' experience with the development and implementation of web based information systems; at least one of which is a public health surveillance or registry system or of similar scope and complexity containing protected health information.

Evidence is provided on page #_____.

6. Contractor must demonstrate in writing they have a minimum of five (5) years' experience implementing and supporting secure hosted solutions.

Evidence is provided on page #_____.

7. Contractor must demonstrate in writing they have a minimum of five (5) years' experience developing and deploying web applications for a Microsoft platform.

Evidence is provided on page #_____.

8. Contractor must verify that their version of their operating system, database, platform, reporting, programming language, and web browser the application is designed for a Microsoft platform.
 - a. Operating System: Microsoft Windows Server

- b. Database: Microsoft SQL Server 2008 R2 or greater
- c. Reporting: Microsoft SQL Reporting Services
- d. Framework/Platform: Microsoft .NET
Microsoft Information Service (IIS) V 7 or greater
- e. Programming Language: C#
- f. Web Browser: Internet Explorer (IE version 9-11), Firefox
- g. Collaboration: Microsoft Office Share Point Services
- h. Work Flow: Microsoft Office Share Point Workflows
Microsoft Biztalk

Evidence is provided on page #_____.

9. Contractor shall provide written documentation detailing their application development, patch management and update process. The documentation shall clearly identify the measures to be taken at each level of the process to develop, maintain, and manage the software securely.

Evidence is provided on page #_____.

10. Contractor shall verify in writing that all of its programming staff, and subcontracted programming staff, have been successfully trained in Security Awareness Training and secure programming techniques.

Evidence is provided on page #_____.

11. The contractor must state (see Section 4.02.4 Security Controls, and 5.04.6 Security Plan) that all sensitive, confidential, and/or restricted data is encrypted in transit and at rest using a NIST FIPS 140-2 certified product.
- a. Sensitive and/or confidential data includes Electronic Protected Health Information (ePHI), as defined in the Federal Health Insurance Portability and Accountability Act (HIPAA), Personally Identifiable Information (PII) as defined by the US Privacy Act and Personal Information (PI), as defined in the State of Alaska Personal Information Protection Act (APIPA).

Evidence is provided on page #_____.

12. The contractor must state at a high level how they will provide compliance by following (Attachment 23: Security Standards - NIST800-53 Controls and Attachment 24: Security Standards – Security Plan Template. (It is anticipated that the State and vendor would work together to complete the templates during the project, however the proposal must state their security approach to these standards.)

Evidence is provided on page #_____.

13. Contractor must provide written evidence that the proposed solution's expose services or consuming services have been performed in prior implementations. See Section 4.03.2 for further information.

Evidence is provided on page #_____.

14. Per section 5.02.2.2, provide a schedule of proposed work.

Evidence is provided on page #_____.

15. Per section 6.01.1, provide contact information and confirm compliance with all provisions of the RFP.

Evidence is provided on page #_____.

16. Per section 2.01, proposal has been **signed** by an individual authorized to bind the offeror to the provisions of the RFP.

Evidence is provided on page #_____.

17. Per section 1.25, offeror has signed and returned the *Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions* form.

Evidence is provided on page #_____.

COST PROPOSAL BY PHASE COMPLETION

Note: The purpose of the cost formula is to provide a mechanism for offerors to submit costs per each deliverable in a manner that DHSS can evaluate and score and then use to establish billing rates for the resultant contract. Please enter your cost in the spaces provided below for completing each deliverable.

Consultation and technical assistance to train staff in identification and prioritization of most appropriate activities for the Alaska Birth Defects Registry:

Upon Completion and acceptance of Project Phases:

Phase 1: Design & Development

| Deliverable # | Deliverable | Cost |
|---------------|--|------|
| 1, 3 | Project Initiation Meeting, Project Meetings & Reporting | \$ |
| 2 | Project Management Plan | \$ |
| 4 | Security Plan and security deliverables | \$ |
| 5 | Planning Documents | \$ |
| 6-13 | <u>Functional Development:</u> Development Initiation, Encounter data, Vital Statistics, Abstraction, Agency Maintenance, Merging Individual Records, Data Maintenance, Reporting | \$ |
| 14 | Data Conversion | \$ |
| 16, 17 | System Documentation, Training | \$ |
| | TOTAL Phase 1 Cost: | \$ |

| | | |
|--|--------------------------|--|
| | Rollout / Go Live | |
|--|--------------------------|--|

Phase 2: Final Delivery and Operations

| Deliverable # | Deliverable Item | Cost |
|---------------|---|------|
| 18 | Delivery of Final Documentation | \$ |
| 19-20 | Warranty and Maintenance, Continuing Operations (to the end of the 12 month period) | \$ |
| | TOTAL Phase 2 Cost: | \$ |

Travel Costs:

\$ _____

Transportation, lodging, and per diem costs sufficient to pay for two person(s) to make three trip(s) to Anchorage, Alaska.

Proposed Cost GRAND TOTAL: \$ _____

The Offeror shall submit an hourly rate for each resource type(s) used for the development and delivery of the project. These rates will be used as the basis for developing contract amendments for unidentified work/amendments.

Example:

Hourly Consultant Type A Rate (\$ _____)

Hourly Consultant Type B Rate (\$ _____)

Hourly Consultant Type C Rate (\$ _____)

This page must be completed and submitted with all offers and received by the State at the time and date set for receipt of proposals.

PROPOSAL EVALUATION FORM

All proposals will be reviewed for responsiveness and then evaluated using the criteria set out herein.

Person or Firm Name _____

Name of Proposal Evaluation (PEC) Member _____

Date of Review _____

RFP Number _____

EVALUATION CRITERIA AND SCORING

THE TOTAL NUMBER OF POINTS USED TO SCORE THIS PROPOSAL IS 1000

7.01 Understanding of the Project—10 Percent

Maximum Point Value for this Section - 150 Points
1000 Points x 30 Percent = 150 Points

Proposals will be evaluated against the questions set out below.

[a] How well has the offeror demonstrated a thorough understanding of the purpose and scope of the project?

EVALUATOR'S NOTES _____

[b] How well has the offeror identified pertinent issues and potential problems related to the project?

EVALUATOR'S NOTES _____

[c] To what degree has the offeror demonstrated an understanding of the deliverables the state expects it to provide?

EVALUATOR'S NOTES _____

[d] Has the offeror demonstrated an understanding of the state's time schedule and can meet it?

EVALUATOR'S NOTES _____

7.01.2 Understanding Technical Product

[e] How well has the offeror demonstrated a thorough understanding of the Hosting considerations and constraints?

EVALUATOR'S NOTES _____

[f] How well has the offeror demonstrated their response for conforming to the security controls necessary to protect the data?

EVALUATOR'S NOTES _____

[g] How well has the offeror demonstrated the integration issues and processes to resolve those issues?

EVALUATOR'S NOTES _____

[h] How well has the offeror demonstrated their process for patches and updates as well as the notification of the patches and updates?

EVALUATOR'S NOTES _____

[i] How well has the offeror demonstrated their compliance with DHSS IT standard technology set per Attachment 22: Alaska Department of Health and Social Services IT Standards?

EVALUATOR'S NOTES _____

7.01.3 Understanding IT Roadmap Implications

How well has the offeror demonstrated an understanding of the MITA/NHSIA and IT Roadmap Requirements?

EVALUATOR'S NOTES _____

EVALUATOR'S POINT TOTAL FOR 7.01 _____

7.02 Methodology Used for the Project—10 Percent

Maximum Point Value for this Section - 50 Points
1000 Points x 5 Percent = 50 Points

Proposals will be evaluated against the questions set out below.

[a] How comprehensive is the methodology and does it depict a logical approach to fulfilling the requirements of the RFP?

EVALUATOR'S NOTES _____

[b] How well does the methodology match and achieve the objectives set out in the RFP?

EVALUATOR'S NOTES _____

[c] Does the methodology interface with the time schedule in the proposal?

EVALUATOR'S NOTES _____

EVALUATOR'S POINT TOTAL FOR 7.02 _____

7.03 Management Plan for the Project—15 Percent

Maximum Point Value for this Section - 100 Points
1000 Points x 5 Percent = 100 Points

Proposals will be evaluated against the questions set out below.

- [a] How well does the management plan support all of the project requirements and logically lead to the deliverables required in the RFP?

EVALUATOR'S NOTES _____

- [b] How well is accountability completely and clearly defined?

EVALUATOR'S NOTES _____

- [c] Is the organization of the project team clear?

EVALUATOR'S NOTES _____

- [d] How well does the management plan illustrate the lines of authority and communication?

EVALUATOR'S NOTES _____

- [e] To what extent does the offeror already have the hardware, software, equipment, and licenses necessary to perform the contract?

EVALUATOR'S NOTES _____

- [f] Does it appear that offeror can meet the schedule set out in the RFP?

EVALUATOR'S NOTES _____

- [g] Has the contractor gone beyond the minimum tasks necessary to meet the objectives of the RFP?

EVALUATOR'S NOTES _____

- [h] To what degree is the proposal practical and feasible?

EVALUATOR'S NOTES _____

[i] To what extent has the offeror identified potential problems?

EVALUATOR'S NOTES _____

EVALUATOR'S POINT TOTAL FOR 7.03 _____

7.04 Experience and Qualifications—15 Percent

Maximum Point Value for this Section - 150 Points
1000 Points x 10 Percent = 150 Points

Proposals will be evaluated against the questions set out below.

Questions regarding the personnel.

Do the individuals assigned to the project have experience on similar projects?

EVALUATOR'S NOTES _____

Are resumes complete and do they demonstrate backgrounds that would be desirable for individuals engaged in the work the RFP requires?

EVALUATOR'S NOTES _____

How extensive is the applicable education and experience of the personnel designated to work on the project?

EVALUATOR'S NOTES _____

Questions regarding the firm.

Has the firm demonstrated experience in completing similar projects on time and within budget?

EVALUATOR'S NOTES _____

How successful is the general history of the firm regarding timely and successful completion of projects?

EVALUATOR'S NOTES _____

Has the firm provided letters of reference from previous clients?

EVALUATOR'S NOTES _____

If a subcontractor will perform work on the project, how well do they measure up to the evaluation used for the offeror?

EVALUATOR'S NOTES _____

EVALUATOR'S POINT TOTAL FOR 7.04 _____

7.05 Contract Cost — 40 Percent

Maximum Point Value for this Section - 400 Points
1000 Points x 40 Percent = 400 Points

Overall, 40 percent of the total evaluation points will be assigned to cost. The cost amount used for evaluation may be affected by one or more of the preferences referenced under Section 2.13.

Converting Cost to Points

The lowest cost proposal will receive the maximum number of points allocated to cost. The point allocations for cost on the other proposals will be determined through the method set out in Section 2.15.

EVALUATOR'S POINT TOTAL FOR 7.05

7.06 Alaska Offeror Preference — 10 Percent

Alaska bidders receive a 10 percent overall evaluation point preference.
Point Value for Alaska bidders in this section -- 100 Points
1000 Points x 10 Percent = 100 Points

If an offeror qualifies for the Alaska Bidder Preference, the offeror will receive an Alaska Offeror Preference. The preference will be 10 percent of the total available points. This amount will be added to the overall evaluation score of each Alaskan offeror.

EVALUATOR'S POINT TOTAL FOR 7.06 (either 0 or 100)

EVALUATOR'S COMBINED POINT TOTAL FOR ALL SECTIONS

CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION LOWER TIER COVERED TRANSACTIONS

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 29 CFR Part 98, Section 98.510, Participant's responsibilities. The regulations were published as Part VII of the May 26, 1988 Federal Register (pages 19160-19211).

(BEFORE COMPLETING CERTIFICATION, READ THE INSTRUCTIONS ON THE FOLLOWING PAGE WHICH ARE AN INTEGRAL PART OF THE CERTIFICATION)

(1) The prospective recipient of Federal assistance funds certifies, by submission of this bid, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective recipient of Federal assistance funds is unable to certify to any of the Statements in this certification, such prospective participant shall attach an explanation to this Proposal.

Name and Title of Authorized Representative

Signature

Date

Instructions for Certification

1. By signing and submitting this Proposal, the prospective recipient of Federal assistance funds is providing the certification as set out below.
2. The certification in this class is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective recipient of Federal assistance funds knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the Department of Labor (DOL) may pursue available remedies, including suspension and/or debarment.
3. The prospective recipient of Federal assistance funds shall provide immediate written notice to the person to whom this Proposal is submitted if at any time the prospective recipient of Federal assistance funds learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "Proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this Proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective recipient of Federal assistance funds agrees by submitting this Proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the DOL.
6. The prospective recipient of Federal assistance funds further agrees by submitting this Proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to check the List of Parties Excluded from Procurement or Non-procurement Programs.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the DOL may pursue available remedies, including suspension and/or debarment.