Chris Traylor, Executive Commissioner

Request for Proposals
(RFP)
for
Modified Commercial Off-The-Shelf Product
for
Vital Events Registration System

RFP No. 537-16-0069

Date of Release: September 21, 2015

NIGP Class/Item Codes:
920-66
208-80
920-07

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PREFACE

General Definitions

Appendix: Additional information and/or forms that are available at the end of this solicitation document.

Availability: the full functionality of DSHS TxEVER application components hosted at SDC and ADC are available for use by authorized users.

Award: The act of accepting a bid, thereby forming a contract between the state and a respondent.

Centralized Master Bidders List (CMBL): A database maintained by TPASS containing the names and addresses of registered vendors which have provided contact information and information on goods or services they offer.

Conflict of Interest: Set of facts or circumstances in which either a respondent or anyone acting on its behalf in connection with this procurement has past, present or currently planned personal, professional or financial interests or obligations that, in HHSC's determination, would actually or apparently conflict or interfere with the Respondent's contractual obligations to HHSC.

Contract: A written document referring to promises or agreements for which the law establishes enforceable duties and remedies between a minimum of two parties. A HHSC contract is assembled using a core contract (base), one or more program attachments, and other required exhibits (general provisions, etc.).

Contract Term: The period of time during which the contract or program attachment will be effective from begin date to end, or renewal date. The contract term may or may not be the same as the budget period.

Contractor: The entity Department of State Health Services (DSHS) has contracted with to provide services. The contractor is the entity responsible to DSHS even if there is a subcontractor that delivers all or a portion of the services.

Correction Action Plan: Report for any measures that fail to meet the applicable service level target metric

Cost Reimbursement: A payment mechanism by which contractors are reimbursed for allowable costs incurred up to the total award amount specified in the contract. Costs must be incurred in carrying out approved activities, and must be based on an approved eight -category line-item (categorical) budget. Amounts expended in support of providing services and goods, if any, in accordance with the contract terms and conditions must be billed on a monthly basis for reimbursement unless otherwise specified in the contract. Reimbursement is based on actual allowable costs incurred that comply with the cost principles applicable to the grant and sub-grants.

Data Use Agreement: Agreement is to facilitate creation, receipt, maintenance, use, disclosure or access to Confidential Information with CONTRACTOR, and describe CONTRACTOR's rights and obligations with respect to the Confidential Information and the limited purposes for which the

CONTRACTOR may create, receive, maintain, use, disclose or have access to Confidential Information. ***45 CFR 164.504(e)(1)-(3)*** This DUA also describes HHS's remedies in the event of CONTRACTOR's noncompliance with its obligations under this DUA. This DUA applies to both Business Associates and contractors who are not Business Associates who create, receive, maintain, use, disclose or have access to Confidential Information on behalf of HHS, its programs or clients as described in the Base Contract.

Debarment: An exclusion from contracting or subcontracting with state agencies on the basis of cause set forth in Title 34, Texas Administrative Code Chapter 20, Subchapter C, §20.105 et seq.

Department of State Health Services (DSHS): The agency responsible for administering physical and mental health-related prevention, treatment, and regulatory programs for the State of Texas.

Due Date: Established deadline for submission of a document or deliverable.

Effective Date: The date the contract term begins.

Fully Executed: When a contract is signed by each of the parties to form a legal binding contractual relationship. No costs chargeable to the proposed contract will be reimbursed before the contract is fully executed.

General Provisions: Basic provisions that are essential in administering the contract, which include assurances required by law, compliance requirements, applicable federal and state statutes and circulars, financial management standards, records and reporting requirements, funding contingency, sanctions, and terms and conditions of payment.

Health and Human Services Commission (HHSC): The state agency that has oversight responsibilities for designated health and human services agencies, including DSHS, and administers certain health and human services programs including the Texas Medicaid Program, Children's Health Insurance Program (CHIP), and Medicaid waste, fraud, and abuse investigation.

HHSC Contract Opportunities: Website that shows all current contract opportunities within HHSC

Incident Fix: Any event that prevents an authorized HHS user from using DSHS TxEVER

Information Request: Where the HHSC/DSHS Level 1 Support user typically requests information to questions related to functional aspects of the DSHS TxEVER system, or the date when a particular legislative mandate or legislation becomes effective

IT Support Staff: Responsible for providing support to the applicant organization, or it may be a contractor, or the applicant may hire a staff person to provide support.

Maintenance and Enhancement Scheduling Report: Report which encompasses a 90-day projection of planned scheduled maintenance and enhancement work

Outage: one or more of the DSHS TxEVER application components are not available to all users for more than fifteen (15) minutes during the published hours of availability.
Outage Report: Report that includes all application outages occurring for the previous month, and includes a Root Cause Analysis per outage reported.

Performance Measures: A means of objectively assessing programs, products, activities, or services.

Procurement and Contracting Services Division (PCS): Central contracting unit within Health and Human Services Commission (HHSC) that is responsible for statewide procurements and their certifications. PCS oversees, coordinates, and assists the Divisions with procurement needs, issues competitive procurements, finalizes development, and executes contracts. PCS maintains the official contract file from procurement to contract closeout.

Program: Depending upon the context, either a coordinated group of activities carried out by DSHS, as authorized by state or federal law, for a specific purpose ("Program") or DSHS staff located in a program, region, or hospital that identify and request procurement needs ("Program")

Program Manager: Responsible for overall provision and coordination of information and referral services and staff training

Project: All work to be performed as a result of a contract or solicitation.

Project Period: The Period is the anticipated duration of the entire Project stated in total number of budget periods.

Proposal: A response by one party to another which is intended to create legal relations on acceptance by the party.

Respondent: A person or entity that submits a response to a solicitation. For purposes of this document, "respondent" is intended to include such phrases as "offeror", "applicant", "bidder", "responder", or other similar terminology employed by DSHS (or HHSC) to describe the person or entity that responds to a solicitation.

Respondent Information and Disclosure Form: General Respondent Information Form detailing information on the organization, contact information, subcontractor information, conflicts of interest, Litigation, Exceptions or Reservations to the RFP, and Texas Public Information Act,

Resource Manager: Responsible for creating and maintaining comprehensive database contribution of resources in the region.

Scope of Work: A description of the services and/or goods, if any, for each service type, to be obtained as a result of a solicitation for a project period. The scope of work is a document written in the early stages of procurement to explain what DSHS plans to purchase.

Service Metric Reports: A report that indicates whether or not the target metrics for each service level has been met.

SR Ticket Report: Report that lists the relevant details for every SR Ticket entered and worked during the previous month, grouped by SR Type

Solicitation: The process of notifying prospective contractors of an opportunity to provide goods or services to the state (e.g., this RFP).

Statement of Work: The part of the contract that describes the services and/or goods to be delivered by the DSHS contractor specifying the type, level and quality of service, that directly relate to program objectives.

Subcontract: A written agreement between the DSHS contractor and a third party to provide all or a specified part of the services, goods, work, and materials required in the original contract. The contractor remains entirely responsible to DSHS for performance of all requirements of the contract with DSHS. The contractor must closely monitor the subcontractor's performance. Subcontracting can be done only when expressly allowed in the program attachment.

Vendor: A type of contractor or subcontractor that provides services, and goods, if any, that assist in, but are not the primary means of, carrying out the DSHS-funded Program. Under a vendor contract, the vendor will have few if any administrative requirements. (For example, a vendor might be required only to submit a summary report of services delivered and an invoice.) A vendor generally will deliver services to DSHS-funded clients in the same manner the vendor would deliver those services to its non-DSHS-funded clients.

A vendor contractor generally has most of the following characteristics:

a) provides goods and services within normal business operations,
b) provides similar goods and services to many different purchasers,
c) operates in a competitive environment,
d) is not subject to compliance requirements of the federal or state program,
e) provides goods and services that are ancillary to the operation of the program.

Note: Characteristics a, b, c, and d do not apply to vendor contractors that are universities.

Vendor Identification Number (Vendor ID No.): Fourteen-digit number needed for any entity, whether vendor or sub-recipient, to contract with the State of Texas and which must be established with the State Comptroller's Office. It consists of a ten-digit identification number (IRS number, state agency number, or social security number) +check digit + 3 digit mail code. The Vendor ID No. includes all the numbers in the TINs (defined above), including a three digit mail code for a total of 14-digits.

Work Plan: A plan that describes how services will be delivered to the eligible population and includes specifics such as what types of clients will be served, who will be responsible for the work, timelines for completion of activities, and how services will be evaluated when complete. To be an enforceable part of the contract, details from the work plan must be approved by DSHS and incorporated in the contract.

Work Request: Where the HHSC/DSHS Level 1 Support user requests work unrelated to Incidents or Information Request

Acronym	Definition
ADC	Austin Data Center
AOP	Acknowledgement of Paternity
CACOA	Contract Amendment and Change Order Approval
CCB	Change Control Board - Members are responsible for approving or denying changes to project scope
CDC	Centers for Disease Control and Prevention
CHS	Center for Health Statistics
CMBL	Centralized Master Bidders List
CMS	Centers for Medicare and Medicaid Services
COTS	Commercial Off-The-Shelf
CPA	Texas Comptroller of Public Accounts
CT	Central Time
CTO	Chief Technology Officer
DIR	Department of Information Resources – Government agency that oversees Information Technology for all state agencies in Texas.
DCS	Data Center Services
DSHS	Department of State Health Services – Government agency that oversees the state programs intended to improve health and well-being in Texas.
ECM	Enterprise Content Management
EHR	Electronic Health Records
EIR	Electronic and Information Resources
EISSG	Enterprise Information Security Standards and Guidelines
FDD	Feature-driven development is an iterative and incremental software development process.
FIPS Mode	The Federal Information Processing Standard (FIPS) Publication 140-2, is a U.S. government computer security standard used to accredit cryptographic modules.
FISMA	Federal Information Security Management Act
GUI	Graphical User Interface
HETS	HIPAA Eligibility Transaction System
HHS	Health and Human Services
HHSC	Health and Human Services Commission – Government organization that oversees the operations of the health and human services system, provides administrative oversight of Texas health and human services programs, and provides direct administration of some programs.

Acronym	Definition
HIPAA	Health Insurance Portability and Accountability Act of 1996
HIT	Health Information Technology
HL7	Health Level Seven, is an all-volunteer, non-profit organization involved in development of international healthcare standards. "HL7" is also used to refer to some of the specific standards created by the organization (e.g., HL7 v2.x, v3.0)
HSEGH	Health, Social, Educational, and Genetic History
HSP	Historically Underutilized Business Subcontracting Plan
HUB	Historically Underutilized Business
ICD-11	Will be the 11th revision of the International Statistical Classification of Diseases and Related Health Problems
IT	Information Technology
ITOP	Induced Terminations of Pregnancy
IV&V	Independent Verification and Validation
JAD	Joint Application Design
JSON	JavaScript Object Notation
LBB	Legislative Budget Board is a permanent joint committee of the Texas Legislature that develops budget and policy recommendations for legislative appropriations, completes fiscal analyses for proposed legislation, and conducts evaluations and reviews to improve the efficiency and performance of state and local operations.
NCHS	National Center for Health Statistics
NIST	National Institute of Standards and Technology
OAG	Office of Attorney General
OGC	HHSC Office of General Counsel
ONC	The Office of the National Coordinator for Health Information Technology (ONC) is at the forefront of the administration's health IT efforts and is a resource to the entire health system to support the adoption of health information technology and the promotion of nationwide health information exchange to improve health care.
OVS	Online Verification System
OWASP	Open Web Application Security Project
PCR(s)	Project Change Request(s)
PCS	Procurement and Contracting Services
PGP	Pretty Good Privacy is a data encryption and decryption computer program that provides cryptographic privacy and authentication for data communication.
PII	Personally Identifiable Information

Acronym	Definition
PMLC	Project Management Life Cycle
PM	Project Manager
RAC	In database computing, Oracle Real Application Clusters (RAC) provides software for clustering and high availability in Oracle database environments
RDBMS	Relational Database Management System
RESTful	Representational State Transfer (REST) is a software architecture style consisting of guidelines and best practices for creating scalable web services.
RFP	Request for Proposal
RTM	Requirements Traceability Matrix
SAMM	The Software Assurance Maturity Model is an open framework to help organizations formulate and implement a strategy for software security that is tailored to the specific risks facing the organization.
SAP/CR	Suits Affecting Parent / Child Relationships
SCORM	Sharable Content Object Reference Model
SDC	State Data Center
SDD	System Design Description
SDLC	Software Development Life Cycle
SME(s)	Subject Matter Expert(s)
SOA	Service-oriented architecture
SOW	Statement of Work
SQR	Structured Query Reporter is a programming language designed for generating reports from database management systems.
SR	Support Request
SRS	System Requirements Specification
SSA	Social Security Administration
SSN	Social Security Number
STEVE	State and Territorial Exchange of Vital Events
TAC	Texas Administrative Code
TDD	Test-driven development is a software development process that relies on the repetition of a very short development cycle: first the developer writes an (initially failing) automated test case that defines a desired improvement or new function, then produces the minimum amount of code to pass that test, and finally refactors the new code to acceptable standards.

Acronym	Definition
TER	Texas Electronic Registrar
TOAD	Tool for Oracle Application Developers is a software application from Dell Software that database developers, database administrators and data analysts use to manage both relational and non-relational databases using SQL.
TPDF	Texas Project Delivery Framework
TxEVER	Texas Electronic Vital Events Registrar
UAT	User Acceptance Testing
URL	A uniform resource locator is a reference to a resource that specifies the location of the resource on a computer network and a mechanism for retrieving it.
USB	A USB flash drive is a data storage device that includes flash memory with an integrated Universal Serial Bus (USB) interface.
VAR	Voluntary Adoption Registry
VSU	Vital Statistics Unit
WBS	Work Breakdown Structure
WSDL	Web Service Definition Language
XML	Extensible Markup Language

1. General Information

1.1 Scope

The Department of State Health Services (DSHS) Vital Statistics Unit (VSU) by and through the Texas Health and Human Services Commission (HHSC) seeks to enter into a contract with a single contractor to acquire a customizable commercial off-the-shelf (COTS) product for an Internet-based Vital Records Information Systems Management system and vendor services to customize the system for Texas. This system will replace the current statewide electronic registration system, Texas Electronic Registrar (TER). In addition to the COTS product, the Vendor may also propose additive alternate imaging, and/or hosting solutions which are described in further detail in Section 2.2

VSU utilizes different systems to manage the state's vital records. TER is the system for birth, death and marriage applications. Other ancillary systems manage fetal death records, divorce records, suits affecting parent-child relationships, adoption records, paternity records, acknowledgement of paternity records, voluntary adoption registry, induced termination of pregnancy (ITOP) reports,

The Texas Electronic Vital Events Registrar (TxEVER) system will be a rich, web-based application platform that will replace TER and the identified ancillary systems managing vital records. That system will support a user base located in thousands of locations across the state. This public facing web-based application collecting vital event data will provide common functionality on a wide variety of operating systems and platforms.

1.2 HHSC Point of Contact

The sole point of contact for inquiries concerning this RFP is:

Diana McIntosh. CTPM
Contract Specialist IV
Procurement and Contracting Services Building
Health and Human Services Commission
1100 W 49th Street, MC 2020
Austin, Texas 78756.
Diana.Mcintosh@hhsc.state.tx.us
Phone: (512) 406-2527

All communications relating to this RFP must be directed to the HHSC contact person named above. All communications between respondents and other HHSC/DSHS staff members concerning this RFP are strictly prohibited. **Failure to comply with these requirements may result in proposal disqualification.**

1.3 Procurement Schedule

The following table documents the critical pre-award events for the procurement. All dates are subject to change at HHSC's discretion.

Procurement Schedule	
Event	**Date and Time**
RFP Release Date	**September 21, 2015**
Vendor Conference	**October 08, 2015 @ 9:00 AM**
Vendor Questions Due	**October 21, 2015**
HHSC Posts Responses to Vendor Questions	**October 26, 2015**
Proposals Due Date	**November 5, 2015 @ 2:00 PM**
Deadline for Proposal Withdrawal	**November 5, 2015**
Respondent Demonstrations/Oral Presentations	**November 16, 2015 through December 4, 2015**
Site Visits	**TBD**
Award Announcement	**January 22, 2016**
Anticipated Contract Start Date	**February 15, 2016**

1.4 Mission Statement

The TxEVER Implementation Project will implement a software system to replace the current Vital Registration System, TER. TxEVER will resolve current maintainability and security issues, adhere to State and Federal vital records requirements, and enable integration to Electronic Health Records (EHRs). TxEVER will improve the efficiency of vital statistics data collection, management, and reporting.

1.5 Mission Objectives

DSHS objectives for this procurement are:

The development of a system called TxEVER that provides for the accurate and timely collection of data, data sharing, and system security. TxEVER will:

1. Resolve current system limitations as prescribed in S.B. 1, 82nd Legislature, Regular Session, 2011 (General Appropriations Act), DSHS Agency Rider 72 recommendations (Rider 72 Report), https://www.dshs.state.tx.us/vs/rider72.shtm.
2. Resolve difficulties that the current TER system presents in vital statistics data collection, management, security, and timely data reporting as documented in Attachment A – Business Process Mapping.
3. Resolve security issues as documented in Attachment B – Security Requirements.
4. Resolve maintainability issues as documented in Attachment C – Non-Functional Requirements.
5. Enhance security in order to safeguard records from fraud, misuse, and identity theft. The use of multifactor authentication, proactive flags, and enforced segregation of duties will aid in preventing fraudulent registration and unauthorized access and issuance of records.
6. Encompass all of the types and categories of data required to be collected and issued by the Vital Statistics Unit (VSU).

7. Comply with emerging Health Information Technology (HIT) Standards for Interoperability, Accessibility, and EHRs. The system will use common standards such as Health Level 7 (HL7) and Inter-Jurisdictional Exchange to establish interoperability with other applications.
8. Enhance customer experience by complying with Section 508 of the Rehabilitation Act, Health and Human Services (HHS) accessibility standards, Texas Administrative Code § 206.50, § 213, Texas Health and Human Services Policy and the Texas HHS Accessibility Checklist.
9. Improve functional capabilities, performance, capacity, scalability, reuse, and maintainability.
10. Reduce operational overhead.
11. Comply with Vital Statistics rules, laws, and requirements as defined in statutes and rules.
12. Improve health care management and reduce administrative costs associated with health data errors resulting from manual data management or duplicative manual processes.
13. Modernize user access to vital records including data retrieval through reports and queries.
14. Implement a robust statistical reporting database for business intelligence and analytics.
15. The TxEVER Major Information Resource Project will require adherence to Texas Project Delivery Framework.
16. TxEVER must go live at the beginning of a calendar year, currently planned for January 2018.

1.6 Background

1.6.1 Overview of the Health and Human Services Commission

Since 1991, the Texas HHSC has overseen and coordinated the planning and delivery of health and human service programs in Texas. HHSC is established in accordance with Texas Government Code Chapter 531 and is responsible for the oversight of all Texas health and human service agencies (HHS Agencies). HHSC's chief executive officer is Chris Traylor, Executive Commissioner of Health and Human Services.

As a result of the consolidation due to House Bill (HB) 2292, 78th Regular Session in fiscal year 2003, some of the contracting and procurement activities for the HHS Agencies have been assigned to the Procurement and Contracting Services (PCS) Division of HHSC. As such, PCS will administer the initial stages of the procurement process, prior to the contract award, including RFP announcement and publication, handling of communications from the Respondent, as well as managing the receipt and handling of valid responses for final review and evaluation. PCS directs the execution of the contract after the awarded vendor has been selected.

1.6.2 Project Overview

The DSHS VSU engages in the collection, certification, and provision of vital statistics information for State of Texas. The State Registrar directs the VSU within DSHS.

VSU's current system, TER, is deployed across registration districts, hospitals, birthing centers, funeral homes, medical examiners and justices of the peace throughout Texas. VSU maintains more than 47.3 million vital event records. Annually, VSU registers an average of 396,000 births and 177,700 deaths. Fetal death, marriage, divorce, adoption, paternity, and suits affecting the parent-child relationship together average another 411,000 records per year.

TER is deployed across registration districts, hospitals, birthing centers, funeral homes, medical examiners and justices of the peace throughout Texas. The electronic-birth-record component of TER and a request-processing component were implemented in 2004. The electronic-death-registration component was implemented in 2006, and the electronic-marriage-application component was implemented in 2008.

While TER is a stable system, it is an aged system both in terms of technology and infrastructure. It has become costly to maintain the application and the database, ensure reliability and availability, and meet the state and federal data security requirements for safeguarding Personally Identifiable Information (PII).

The TxEVER project will include the acquisition and implementation of comprehensive Electronic Vital Records System to replace TER and the ancillary systems used to collect and issue data. The project will also include tasks associated with the migration of data from the current systems to the new system. To ensure stakeholder requirements and business unit processes are met, the project will employ standard software development phases, tasks and activities such as Joint Application Design (JAD) sessions, detailed requirement development, code and interface customization and product testing.

The Statement of Work will contain specific details of each requirement for a replacement system and additive alternatives for imaging and/or hosting solutions based on identified requirements, including requirements discovered through legislative changes, input from stakeholders, and the Centers for Disease Control and Prevention/National Center for Health Statistics (CDC/NCHS) eVital Standards Initiative.

TxEVER will advance the capabilities of Texas Vital Statistics with regard to data collection, issuance, storage, security, analysis, and data sharing.

1.7 Strategic Elements

1.7.1 Contract Type and Term

HHSC/DSHS will award one contract for the TxEVER Project. The initial contract period will be from date of contract execution through August 31, 2020. This contract may be renewed by written agreement of the parties for up to two additional two-year periods for ongoing maintenance and support, each coinciding with the State biennium.

1.7.2 Contract Elements

The term "Contract" means the contract awarded as a result of this RFP and all exhibits thereto. At a minimum, the following documents will be incorporated into the contract: this RFP and all attachments and exhibits; any modificaitons, addendum or amendments, issued in conjunction with this RFP; DSHS 2015 Core Vendor Contract General Provisions, and the successful respondent's proposal.

HHSC/DSHS reserves the right to negotiate additional contract terms and conditions. Respondents are responsible for reviewing DSHS 2015 Core Vendor Contract General Provisions and noting any exceptions, reservations, and limitations on the Respondent Information and Disclosures form.

1.7.3 Data Use Agreement (DUA)

By entering into contract or purchase order with a Texas Health & Human Services Agency, you agree to be bound by the terms of the HHS Data Use Agreement (HHS-GC-DUA) Data Use Agreement: This is the general version that should be used for all contractors who access agency confidential information. It is available on the HHSC Business Opportunities webpage.

Information that explains the terms of the DUA and what laws require us to protect and safeguard agency confidential data can be found at: http://hhscx.hhsc.state.tx.us/data-use-agreement-compliance/docs/understanding-dua.pdf

☐If this box is checked, Section 1.7.3 does not apply to the contract, or purchase order, because the contractor will not have access to confidential information.

1.7.4 HHSC's/DSHS' Basic Philosophy: Contracting for Results

HHSC's/DSHS' fundamental commitment is to contract for results. HHSC/DSHS defines a successful result as the generation of defined, measurable, and beneficial outcomes that satisfy the contract requirements and support HHSC's/DSHS' missions and objectives. This RFP describes what is required of the contractor in terms of services, deliverables, performance measures and outcomes. Contractor will be solely responsible for fulfilling all responsibilities assigned to it under this RFP and the resulting contract. Contractor will also be solely responsible for determining means and methods by which provides deliverables, satisfies the performance measures, and complies with the parameters set under the Contract and under other law.

1.8 External Factors

External factors may affect the project, including budgetary and resource constraints. Any contract resulting from the RFP is subject to the availability of state and federal funds. As of the issuance of this RFP, HHSC anticipates that budgeted funds will be available to reasonably fulfill the project requirements. If, however, funds are not available, HHSC reserves the right to withdraw the RFP or terminate the resulting contract without penalty.

1.9 Funding Availability

External factors may affect the project, including budgetary and resource constraints. Any contract resulting from the RFP is subject to the availability of state and federal funds. As of the issuance of this RFP, HHSC/DSHS anticipates that budgeted funds will be available to reasonably fulfill the project requirements. If, however, funds are not available, HHSC/DSHS reserves the right to withdraw the RFP or terminate the resulting contract without penalty.

1.10 Legal and Regulatory Constraints

1.10.1 Delegation of Authority

State and federal laws generally limit HHSC's/DSHS' ability to delegate certain decisions and functions to a contractor, including but not limited to: (1) policy-making authority; and (2) final decision-making authority on the acceptance or rejection of contracted services.

1.10.2 Conflicts of Interest

A conflict of interest is a set of facts or circumstances in which either a respondent or anyone acting on its behalf in connection with this procurement has past, present or currently planned personal, professional or financial interests or obligations that, in HHSC's/DSHS' determination, would actually or apparently conflict or interfere with the Respondent's contractual obligations to HHSC/DSHS. A conflict of interest would include circumstances in which a party's personal, professional or financial interests or obligations may directly or indirectly:

- Make it difficult or impossible to fulfill its contractual obligations to HHSC/DSHS in a manner that is consistent with the best interests of the State of Texas;
- Impair, diminish or interfere with that party's ability to render impartial or objective assistance or advice to HHSC/DSHS; or
- Provide the party with an unfair competitive advantage in future HHSC/DSHS procurements.

Neither the respondent nor any other person or entity acting on its behalf, including but not limited to subcontractors, employees, agents and representatives, may have a conflict of interest with respect to this procurement. Before submitting a proposal, respondents should carefully review DSHS Core Vendor Contract General Provisions for additional information concerning conflicts of interests.

Respondent must certify that it does not have personal or business interests that present a conflict of interest with respect to the RFP and resulting contract on the Required Certifications form. Additionally, if applicable, the respondent must disclose all potential conflicts of interest. The respondent must describe the measures it will take to ensure that there will be no actual conflict of interest and that its fairness, independence and objectivity will be maintained (Respondent Information and Disclosures form). HHSC will determine to what extent, if any, a potential conflict of interest can be mitigated and managed during the term of the contract. **Failure to identify potential conflicts of interest may result in HHSC's disqualification of a proposal or termination of the contract.**

1.10.3 Former Employees of a State Agency

Respondents must comply with Texas and federal laws and regulations relating to the hiring of former state employees (see e.g., Texas Government Code § 572.054 and 45 C.F.R. § 74.43). Such "revolving door" provisions generally restrict former agency heads from communicating with or appearing before the agency on certain matters for two years after leaving the agency. The revolving door provisions also restrict some former employees from representing clients on matters that the employee participated in during state service or matters that were in the employees' official responsibility.

As a result of such laws and regulations, a respondent must certify that it has complied with all applicable laws and regulations regarding former state employees (Required Certifications form). Furthermore, a respondent must disclose any relevant past state employment of the respondent's or its subcontractors' employees and agents in the Respondent Information and Disclosure form.

1.11 HHSC Amendments and Announcements Regarding this RFP

HHSC will post all official communication regarding this RFP to the Electronic State Business Daily (ESBD). HHSC reserves the right to revise the RFP at any time. Any changes, amendments, or clarifications will be made in the form of written responses to respondent questions, amendments, or addendum issued by HHSC on ESBD. Respondents should check the ESBD website frequently for notice of matters affecting the RFP. To access the website, go to the ESBD page and enter a search for this procurement.

1.12 RFP Cancellation/Partial Award/Non-Award

HHSC/DSHS reserves the right to cancel this RFP, to make a partial award, or to make no award if it determines that such action is in the best interest of the State of Texas.

1.13 Right to Reject Proposals or Portions of Proposals

HHSC/DSHS may, in its discretion, reject any and all proposals or portions thereof.

1.14 Costs Incurred

Respondents understand that issuance of this RFP in no way constitutes a commitment by HHSC/DSHS to award a Contract or to pay any costs incurred by a respondent in the preparation of a response to this RFP. HHSC/DSHS is not liable for any costs incurred by a respondent prior to issuance of or entering into a formal agreement, contract, or purchase order. Costs of developing proposals, preparing for or participating in oral presentations and site visits, or any other similar expenses incurred by a respondent are entirely the responsibility of the respondent, and will not be reimbursed in any manner by the State of Texas.

1.15 Protest Procedures

Texas Administrative Code Title 1, Part 15, Chapter 391, Subchapter J, subsection 391.301 outlines HHSC's respondent protest procedures.

1.16 Interpretive Conventions

Whenever the terms “shall,” “must,” or “is required” are used in this RFP in conjunction with a specification or performance requirement, the specification or requirement is mandatory. A respondent’s failure to address or meet any mandatory requirement in a proposal may be cause for HHSC’s rejection of the proposal.

Whenever the terms “can,” “may,” or “should” are used in this RFP in conjunction with a specification or performance requirement, the specification or performance requirement is a desirable, but not mandatory, requirement. Accordingly, a respondent’s failure to address or provide any items so referred to will not be the cause for rejection of the proposal, but will likely result in a less favorable evaluation.

2. Statement of Work

2.1. Project Schedule

Milestones/Deliverables	Target Date
Vendor Solicitation Posted	09/21/15
Evaluate and select vendor	1/22/15
Contract signed	02/01/16
Project Begin Date	02/15/16
Complete Customization of TxEVER	01/24/17
Complete Security Testing	05/08/17
Complete System Testing	06/29/17
Complete User Acceptance Testing	07/28/17
Complete Pilot	09/09/17
Implementation Complete – Go Live	01/01/18
Stabilization Complete (4 months)	05/09/18

2.2. Statement of Work

Respondents **MUST** provide proposals for a customizable COTS product.

DSHS has also provided additive alternate options for the Respondents to bid on imaging and/or hosting solutions.

If Respondent is not proposing any of the alternate solutions, please state on the TxEVER Attachment I - Cost Proposal, that you will not be submitting a proposal for that particular section.

Proposal		Description
Base:	Customizable COTS product	The Respondent will provide a customizable COTS product and DSHS will provide an imaging solution and all hosting.
Alternate 1:	Customizable COTS product plus Imaging solution	The Respondent will provide a customizable COTS product and an Imaging solution (includes migration of existing images). DSHS will provide all hosting.

Proposal		Description
Alternate 2:	Customizable COTS product and hosting of COTS product	The Respondent will provide a customizable COTS product and hosting of COTS product. DSHS will provide an Imaging solution and hosting of Imaging solution.
Alternate 3:	Customizable COTS product plus Imaging solution, and hosting.	The Respondent will provide a customizable COTS product, an Imaging solution (includes migration of existing images), and both will be hosted by the respondent

2.2.1 Define COTS product

A. The Respondent must provide a customizable COTS product that provides the functionality to register birth, death, fetal death, marriage applications, divorces, suits affecting parent/child relationships, ITOP, paternity and adoptions as specified in Attachment A – Business Process Mapping.

B. The Respondent must provide a COTS product that provides the functionality to amend and issue vital records as specified in Attachment A – Business Process Mapping.

C. If hosted at DSHS, the Respondent must provide a COTS product that matches DSHS architecture stack requirements:
   1. Microsoft: Windows Server 2012, SQL 2012, IIS 8.0, .NET 4.5.1, ASP.NET MVC, Entity Framework
   2. Java: Linux Server 2012, Oracle 12.1, WebLogic 12.1, Oracle Fusion 10.1.3, Oracle JBOSS 7, Oracle Java 8 (JDK 1.9)

D. The Respondent must provide a COTS product that is successfully operational in a minimum of three (3) state registrars.

E. The new system should conform to eVital standards to enable interoperable electronic data exchanges among electronic health record systems, national system of 57 registration areas (50 states, 2 cities, and 5 U.S. territories), and potentially other public health information systems for birth, death, and fetal death events. The new system must meet the requirements in Attachment E - HL7 Interoperability which provides a comprehensive representation of the eVital standards that have been developed through collaboration of CDC/NCHS and the National Association of Public Health Statistics and Information Systems (NAPHSIS). DSHS prefers that the vendor be an active member in Health Level Seven International. For further information and a description of each standard, please visit the CDC/ Public Health Information Network (PHIN) website at:

http://www.cdc.gov/phin/resources/standards/data_interchange.html

F. The Respondent must provide a COTS product that will provide a scalable architecture. DSHS requires a 3-tier architecture. The 3-tier will consist of: a mobile-friendly web GUI, an application layer, and a database tier. The system must be able to be responsive to 10,000 concurrent users and an unlimited number of named users.

G. The Respondent must provide a COTS product that will incorporate a services-oriented architecture (SOA) and/or web services architecture. The State requires SOA capabilities for communicating with other State services and client applications. State services and client applications will communicate with internal applications and external constituents or applications.

H. If the Respondent is proposing an additive alternative imaging solution, the solution must meet the requirements defined in Attachment N – Vendor Imaging Solution.

2.2.2 Define Contractor Services

A. If TxEVER will be hosted by DSHS, the Respondent must install their product on-site at the State Data Center on HHSC provided hardware. If the Respondent provides an additive alternative hosting solution, the solution must meet the requirements defined in Attachment M – Vendor Hosting Solution.

B. The Respondent must configure and modify the system, if necessary, to meet HHSC/DSHS security requirements as defined in Attachment B – Security Requirements.

C. The Respondent must perform a gap analysis between the off-the-shelf offering and the DSHS VSU Business Requirements defined in Attachment A – Business Process Mapping, Attachment C – Non-functional Requirements, and Attachment E – HL7 Interoperability. Respondent will customize the system to satisfy DSHS VSU business processes and usability best practice as defined in the aforementioned attachments.

D. The Respondent must develop interfaces to internal and external information systems as specified in Attachment D – External System Interfaces.

E. The Respondent must perform all of the tasks required for the system implementation including support as specified in Attachment G – Statistical Reporting Database, in collaboration with DSHS technical staff as deemed feasible by the Agency.

F. The Respondent must provide onsite and web-based training of site administrators, technical and all applicable staff, and provision of all documentation required to effectively use and support the system.

G. The Respondent must provide provisioning of ongoing software upgrades, releases, maintenance and support. This includes imaging software if the Respondent is proposing an additive alternative imaging solution. If the Respondent is proposing an additive alternative hosting solution, the Respondent must also provide provisioning of ongoing system software and hardware upgrades, releases, maintenance, and support.

H. The Respondent must conform to latest underlying OS, any framework and database technology version upgrades and security patches as released by the appropriate manufacturer.

2.2.3 Define Additive Alternate Solution

The RFP is written with the assumption that DSHS will provide the imaging solution and host both the COTS product as well as the imaging solution. Respondent may propose an additive alternate solution to provide their own imaging solution. The Respondent may also propose a hosting solution. These alternative proposals must be in separate attachments to the proposal for the COTS product.

A. If proposing a solution for imaging, the Respondent must provide an imaging solution that provides the functionality as specified in Attachment N – Imaging Solution.

B. If proposing a solution for hosting, the Respondent must provide a hosting solution that provides the functionality as specified in Attachment M – Hosting Solution.

C. The Respondent must provide a separate cost proposal along with references and proof of prior implementations for any additive alternate solution.

2.2.4 Information Security & Privacy Requirements

The Respondent must ensure that the COTS customized product and any additive alternate solutions will adhere to the following information security and privacy requirements:

A. Department of State Health Services, “HIPAA at DSHS” available from www.dshs.state.tx.us/hipaa/default.shtm

B. CDC-Centers for Disease Control and Prevention, “HIPAA Privacy Rule and Public Health, Guidance from CDC and the U.S. Department of Health and Human Services” available from www.cdc.gov/mmwr/preview/mmwrhtml/m2e411a1.htm

C. Centers for Medicare & Medicaid Services (CMS), "HIPAA Eligibility Transaction System (HETS)" available from http://www.cms.gov/HETSHelp/04_SecurityHETS270271.asp#TopOfPage

D. CMS, "HIPAA General Information", available from http://www.cms.gov/HIPAAGenInfo/01_Overview.asp

E. United States Department of Health & Human Services, "Privacy and Security and Health Information Technology" available from http://www.healthit.gov/sites/default/files/pdf/privacy/privacy-and-security-guide.pdf

F. Social Security Administration (SSA) requires electronic data exchange partners to meet information security safeguards requirements, the foundation for the requirements are the Federal Information Security Management Act (FISMA), http://csrc.nist.gov/groups/SMA/fisma/index.html Public Law (P.L.) 107-347, the Privacy Act of 1974 and SSA's own policies, procedures and directives

G. Internal Revenue Service (IRS) Publication 1075, Tax Information Security Guidelines for Federal, State, and Local Agencies and Entities at http://www.irs.gov/pub/irs-pdf/p1075.pdf

H. Adhere to the framework established by the U.S.-EU Safe Harbor program. http://www.export.gov/safeharbor/eu/eg_main_018365.asp

2.2.5 Web Page Accessibility Requirements

The Respondent must ensure that the COTS customized product and any additive alternate imaging solution will adhere to the following web page accessibility requirements:

A. Texas Health and Human Services, "HHS CIRCULAR C-024 Health and Human Services System Electronic and Information Resources (EIR) Accessibility", available from http://www.hhsc.state.tx.us/news/circulars/C-024.shtml

B. Texas Health and Human Services, "HHS Electronic and Information Resources (EIR) Accessibility Policy Manual", available from the HHS Accessibility Center for Electronic Information Resources, http://accessibility.hhs.texas.gov/

C. U.S. General Services Administration, "Section 508 of the Rehabilitation Act (29 U.S.C. 794d), as amended by the Workforce Investment Act of 1998 (P.L. 105-220), August 7, 1998", available from https://www.section508.gov/content/learn/laws-and-policies

2.2.6 Required Work Plans

The Contractor shall develop and submit the following plans to HHSC/DSHS for written approval no later than thirty (30) calendar days' issuance of Notice to Proceed. Any clarifications, modifications, or updates required by HHSC/DSHS for any of these plans shall be made by Contractor no later than five (5) calendar days from the date of written request.

The Contractor may propose any additional work plans they consider necessary to HHSC/DSHS for written approval.

For any plan not approved, HHSC/DSHS will indicate those areas that do not meet HHSC's/DSHS' expectations and the Contractor shall revise the plan accordingly.

A. **Communication Plan:**
The Contractor will provide a Communication Plan that includes:
1. Methods of communication;
2. Frequency;
3. Participants; and
4. Feedback mechanisms related, but not limited to the following communication channels:
    a. Regularly scheduled and ad hoc on-site meetings;
    b. Conference calls;
    c. E-mail;
    d. Weekly written status reports provided to HHSC/DSHS by Contractor;
    e. Issues tracking and escalation; and
    f. Service Level Performance and Support Request Reports provided by Contractor as specified Project Plans.

B. **Weekly Written Status Reports:**
The Contractor shall submit weekly written status reports that include:
1. Contractor's tasks completed;
2. Contractor's tasks in progress;
3. Contractor's work to be initiated during the next week;
4. Issues requiring management attention, which will include, but not be limited to the following:
    a. Any problems that may delay completion of scheduled deliverables,
    b. Any failure or inadequacy of Contractor to perform a contract service,
    c. Any failure or delay of Contractor or HHSC/DSHS to perform a project task,
    d. Any failure, delay, or inadequacy of Contractor or HHSC/DSHS in the performance of their respective obligations that may delay completion of scheduled deliverables, and
    e. Proposed corrective action(s) for each issue reported;
5. In order for an issue to justify failure to timely complete a Deliverable or other obligation, Contractor must have raised the issue in the Weekly Written Status Report; and
6. Other information requested by HHSC/SDHS.

C. **<u>Initial Project Work Plan</u>:**
The Contractor shall submit an initial project work plan to meet the following objectives:
1. Project management activities are documented,
2. Outlines the plan for the entire TxEVER Implementation Project,
3. Include dependencies, critical paths, and resources (Contractor's or HHSC's/DSHS') assigned to each task,
4. Include all deliverables that support the proposed methodology and approach,
5. Estimated work effort will be shown for each task,
6. Appropriate milestones will be identified to gauge the progress toward meeting contract deadlines,
7. The appropriate milestones will include decision gates to allow HHSC/DSHS to determine whether it is appropriate to move to the next milestone,
8. Any assumptions material to the Work Plan, and
9. After HHSC/DSHS approval of the initial Project Work Plan, the Project Work Plan will be considered a "living document" that may require periodic updating and revision, as mutually agreed to by the Contractor's Project Manager (CPM) and HHSC/DSHS (EPM), over the course of the TxEVER project.
10. Once the project has been "base-lined," scope, cost, or schedule changes will go through the Project Change Control process. The DSHS Project Change Request (PCR) form will be completed and provided to the Change Control Board for approval or disapproval.
11. If an approved PCR results in a contractual scope, cost, or significant schedule change, a bilateral contract amendment will be executed and the Purchase Order will be adjusted accordingly.

D. **<u>Project Security Plan Document:</u>**
The Contractor shall submit a Project Security Plan Document that will address all of the requirements stated in <u>Attachment B – Security Requirements</u>.

E. **<u>Project Implementation Plans</u>:**
The Contractor shall create and submit for approval the following documents:
1. ***<u>System Requirements Specification (SRS</u>***)
   The System Requirements Specification must provide for the following:
   a. Ensure that the functionality necessary to meet business requirements is described,
   b. Provide a general system description,
   c. Describe system capabilities, conditions, and constraints,
   d. Describe system interfaces, and
   e. Define the Requirements Traceability Matrix.

2. ***<u>System Design Description (SDD)</u>***
   The System Design Description must provide for the following:
   a. Ensure that the functionality necessary to meet business requirements is described,

b. Provide a basis for product management and road-mapping discussions, such as prioritizing features from one release to the next,
c. Use as a basis for technology platform and architectural decisions, planning and prioritizing the product backlog, and calculating effort and resource requirements, and
d. Serve as a baseline for the test plan, test cases, and requirements traceability.

3. ***Requirements Traceability Matrix (RTM***)
The Requirements Traceability Matrix must provide for the following:
a. Requirement source and description,
b. SRS reference,
c. SDD reference, and
d. Test scenario reference.

4. ***Data Migration Plan***
a. The Data Migration Plan document must address all of the requirements stated in Attachment F – Data Migration.
b. Imaging additive alternatives must also meet all of the requirements stated in Attachment N –Imaging Solution.

F. **Functional Test Plans:**
The Functional Test Plans for all Test Phases shall include:
1. Unit Testing,
2. Systems Testing,
3. User Acceptance Testing (UAT), and
4. Integration Testing plans.

Each plan shall stipulate quantifiable Entry and Exit Criteria for each functional test phase.

G. **Performance and Load Testing Plan:**
The Performance and Load Testing Plan shall stipulate quantifiable Entry and Exit Criteria.

H. **Disaster Recovery Plan**
If the solution is to be hosted by HHSC/DSHS, Contractor shall work collaboratively with HHSC/DSHS and the Data Center Services Contractor to create a Disaster Recovery Plan, consistent with the HHSC/DSHS standards. The Contractor shall also provide a plan and sufficient licensing for deploying an instance of the system at the HHSC/DSHS alternate facility in Austin, Texas.

Hosting additive alternatives shall include the Contractor working collaboratively with HHSC/DSHS to create a Disaster Recovery Plan that meets or exceeds the Texas Department of Information Resources Data Center Disaster Recovery standards and requirements. The Contractor shall also provide a plan and sufficient licensing for deploying an instance of the system at an alternate facility.

I. **<u>Project Deployment Plan</u>**:
The Contractor shall provide a detailed list of steps to execute when going live with the TxEVER, at a minimum, the plan shall include:
1. A detailed list of discreet and interdependent functional and technical tasks that must be executed in a prescribed sequence when going live with TxEVER,
2. An assigned owner for each task listed, and
3. Entry and Exit Acceptance Criteria, as appropriate, for each task listed. At a minimum, Entry Criteria must include successful execution and HHSC/DSHS approval of all Functional Tests and the Performance and Load Test

J. **<u>Project Training Plan</u>**
The Contractor shall provide a detailed list of training documents and training exercises to ensure all the following areas are included:
1. The Contractor will provide onsite power user or “Train the Trainer” training with emphasis on the following:
   a. User and group setups,
   b. Security and privileges,
   c. Individuals and module restrictions,
   d. Reporting and validation privileges,
   e. Workflow configuration, and
   f. Template creation.
2. The Contractor will provide on-site training that is divided into specific classes so that administrators, staff, and stakeholders receive training relevant to their User roles.
3. The Contractor will provide user documentation, including data dictionaries, data structure descriptions, codes to extract data and any other information, to enable users to complete their roles.
4. The Contractor will provide on-site, end user training at HHSC/DSHS on schedules agreed to between HHSC/DSHS and contractor.
5. The Contractor will provide the System Administration Training that will cover the entire system with emphasis for the following items:
   a. Explanation of all triggers, procedures, constraints used;
   b. Exporting/importing content from other data sources;
   c. Archiving and data retrieval;
   d. Report generation;
   e. Audit trails; and
   f. User training will include the features and use of Online Help screens.
6. If the Contractor is providing an additive alternate hosting solution, the Project Training Plan will also include:
   a. Known maintenance issues with the system;
   b. Specific system required maintenance of associated servers; and
   c. Required load balancing processes/requirements.

K. **<u>Post Go-Live Stabilization Plan</u>**
The Contractor shall provide a Post Go-Live Stabilization Plan that shall meet the following objectives:
1. Specifies the approach for achieving stability of the DSHS TxEVER system, post go-live;

2. Specifies Post Go-Live Stabilization tasks and activities;
3. Specifies a post go-live staffing plan that ensure the approach for achieving stability is successful; and
4. Specifies the expected duration for execution of the Post Go-Live Stabilization Plan.

L. **Transition Plan**

The Contractor shall provide a Transition Plan that will set forth the transition of responsibilities related to the Contractor to DSHS.

1. The plan must include a timeline for the transition.
2. The plan must address how Contractor will transfer knowledge to DSHS staff to allow that staff to fully utilize TxEVER and perform duties such as:
    a. Additions or modifications to business rules to be able to address new versions of certificates, new systems of data coding (ICD-11), and other modifications in vital event data registration/collection;
    b. Data import and extraction processes;
    c. Ad hoc reports;
    d. Customization of menus; and
    e. Customization of workflow.

The Contractor must ensure an efficient and effective transition from the Contractor to DSHS.

2.2.7 Project Personnel

A. The Contractor shall be responsible for providing all personnel resources necessary to perform the Services described in this RFP, unless specifically stated as the responsibility of HHSC/DSHS. Throughout the term of any contract resulting from this RFP (Contract), the Contractor will:

1. Provide qualified personnel to perform all Services required in this RFP,
2. Promptly remove and replace personnel at the request of HHSC/DSHS,
3. Provide HHSC/DSHS written notice of any plan to add, remove and replace personnel, and
4. Obtain written approval from HHSC/DSHS Project Manager for all proposed personnel prior to such personnel beginning work.

B. The Contractor shall be responsible for providing Fingerprint-based Criminal Background Checks:

1. HHSC/DSHS requires criminal background checks of all Contractor personnel assigned to this project including any subcontractors.
2. Criminal background checks will be performed at Contractor's expense.
3. Criminal background checks are for criminal convictions or deferred adjudications entered into in any local, state or federal jurisdiction in the United States of America. Contractor will be required to notify HHSC/DSHS prior to duty assignment if a worker assigned to HHSC/DSHS is on a work release program or has been convicted of a felony.
4. Background checks must include criminal history updates subsequent to the initial background check.
5. Contractor staff will be required to self-report any criminal offence within five calendar days of each reportable event, which includes but is not

limited to: arrests, indictments, adjudications of guilt, pleas of guilty or nolo contendere assessments of probation pre-trial diversions, community supervision / deferred adjudication for any criminal offences, or dismissals, acquittals, or similar final outcomes that do not involve pleas of guilty or nolo contendere.

6. HHSC/DSHS reserves the right to refuse the services of any personnel based on the results of these checks.

C. The Contractor shall identify project staff designated as “Key Personnel.” The CPM and Backup Project Manager (BPM) must be designated as “Key Personnel.”

D. HHSC/DSHS, at its discretion, may request that Contractor remove a particular individual, designated as “Key Personnel,” who is providing Services under any resulting Contract if HHSC/DSHS believes that such individual is not providing the Services as described within this RFP and Contractor, after notice, has been unable to resolve performance issues relative to such individual. If replacement of personnel for cause is required, Contractor shall follow the process identified in Section 2.2.7 Project Personnel.

E. HHSC/DSHS will reserve the right to alter the designation of any Contractor personnel as “Key Personnel.”

F. Contractor shall be responsible for ensuring that its personnel conduct themselves professionally and courteously.

2.2.8 Contractor’s Project Manager and Backup Project Manager

A. Contractor shall designate an individual to act as the CPM and an additional individual who will act as the BPM who will be responsible for the tasks described in this Section.

B. All responsibilities of the CPM shall be responsibilities of the BPM when the CPM is unavailable.

C. The CPM shall be DSHS' primary point of contact on the Project. The CPM shall be physically present at DSHS facilities located in Austin, Texas, Monday through Friday, 8:00 a.m. – 5:00 P.M CT. The CPM or CPM's designee shall be available to DSHS to address emergency needs at all hours and on all days.

D. The CPM shall be responsible for communicating with DSHS on all issues related to the services and to discuss and resolve service issues.

E. CPM shall receive guidance and direction from DSHS designated staff.

F. CPM shall work closely with HHSC’s/DSHS' designated staff to make certain that deliverable milestones are met as scheduled.

G. CPM, at a minimum, shall respond to:

1. day-to-day problems,
2. manage issues,
3. construct project plans and timelines,
4. provide status reports,
5. participate in weekly status meetings, and
6. manage personnel resources.

2.2.9 Communication between HHSC/DSHS and Contractor

Contractor shall be responsible for timely and accurate communications necessary to ensure:

A. Successfully migrating the data from existing systems to TxEVER.

B. Implementing the TxEVER system.

C. Maintaining the TxEVER system in production.

D. Daily operations to maintain the TxEVER environments.

E. Communication will be provided in accordance with the approved Communication Plans identified in Section 2.2.6 Required Work Plans.

2.2.10 Key TxEVER Metrics

A. System Users

Number of stakeholders[1]	
350	DSHS users
27,012	Active users
Number of stakeholders[1]	
1,126	Local Registrars
688	County and District Clerks
3,058	Birth Clerks and Hospital Staff
2,623	Funeral Homes Staff and Directors
10,645	Medical Certifiers (Medical Examiners, Justices of the Peace, Physicians)
7,400	Remote Front Office Users (Office of the Attorney General, Social Security Administration, Texas Department of Family Protective Services…)

Localities[1]	
400	Local Registrar Jurisdictions
254	Counties in Texas
456	District Courts

[1] The number of stakeholders and localities is not expected to change significantly over the life of the project.

B. Records Received

The tables below contain record types and amounts received and issued by DSHS. Annual growth rate for records issued and received is approximately 5% annually.

Vital Records - Received	FY2014
Births Registered[1]	408,013
Deaths Registered[1]	185,706
Fetal Deaths Registered[1]	2,130
Marriage Applications [2]	172,020
Suits and Reports of Divorce[2]	115,258
Total	**883,127**

[1] Records currently imaged, images permanently retained
[2] Shall be imaged in TxEVER, images permanently retained

Other Records - Received	FY2014
Acknowledgements of Paternity[1]	260,000
ITOP Reports	90,000
Voluntary Adoption Registration[2]	440
Paternity Registry Registration[2]	172
New Site Enrollment Applications[2]	200
Total	**350,812**

[1] Records currently imaged, images permanently retained
[2] Shall be imaged in TxEVER, images permanently retained

C. Records Issued

The last five (5) years have seen a compound annual growth rate (CAGR) in request processing of over 30%. Much of this increasing demand in outgoing record volume is coming from the ramp in death certificates ordered directly by funeral homes and online orders.

Vital Records – Issued[1]	FY2014
Birth Certificates	305,475
Birth Verification Letters	213,495
Heirloom Birth Certificate	1,600
Death Certificates	1,510,000[2]
Death Verification Letters	1,162
Divorce Verification Letters	1,216
Marriage Verification Letters	3,025
Not Found Birth	3,283
Not Found Death	1,635
Total	**2,040,891**

[1] In TxEVER, applications and supporting documents for mail-in and lobby request processing will be imaged. Each mail in and lobby request consists of at least an application, photocopy of ID, and a remittance receipt. Images will be retained for a retention period, then purged.

[2]Approximately 225,727 Death Certificates are ordered by VSU customers. The rest are ordered by funeral homes directly through the TxEVER application, and do not require an application or supporting documentation

Supplementals (Transactions)[1]	FY2014
Adoptions filed[2]	11,713
Request for Identities of court of adoption[3]	298
Adoption sealed files opened[3]	86
Paternities Filed[2]	10,756
Birth Amendments Filed[2]	10,016
Death Amendments Filed[2]	3,545
Name Changes Filed[2]	3,429
Disinterment Permits Issued [2]	332
File Date / Hospital Corrections	3,574
Delayed Registrations[2]	571
Open Records Requests[3]	262
AOP Inquiries[3]	961
Paternity Registry Inquiries[3]	18,000
Suit / Court of Continuing Jurisdiction Inquiries[3]	11,339
Total	**74,882**

[1] Supplemental Requests are for the most part submitted either by mail or in the lobby due to supporting documentation requirements. In TxEVER, applications and supporting documents for Supplemental Requests can consist of several pages per request.

[2] Images of supporting documentation are permanently retained

[3] Images of supporting documentation will be retained for a retention period, then purged.

2.2.11 Coordination with Data Center Service (DCS) Vendor

If the solution is to be hosted by HHSC/DSHS, the Contractor shall plan, schedule and coordinate the TxEVER implementation activities with DSHS staff that will coordinate notification and communication with the DCS Vendor who provides hosting services for the State Data Center and the Austin Data Center.

2.2.12 Technical Support Related to Training

Contractor shall provide technical support to help facilitate HHSC's/DSHS' effort to develop and deliver end user training as part of the project. DSHS has a standard Learning Management System application that can house Sharable Content Object Reference Model (SCORM) compliant trainings. The Contractor shall develop training modules and DSHS will host the training of those modules.

2.2.13 Execution of Deployment Plan

The Contractor shall provide services in accordance with the approved Project Deployment Plan as stated in Section 2.2.6 Required Work Plans this will include execution of an iterative number of mock go-live exercises, as deemed necessary by HHSC/DSHS, as well as a final execution of the Deployment Plan after HHSC/DSHS officially signals approval to Go-Live with the TxEVER system.

2.2.14 Acceptance of TxEVER System

DSHS TxEVER must go live at the beginning of a calendar year. HHSC/DSHS and the Contractor will mutually determine when the implemented DSHS TxEVER system is ready to go live. A 90-calendar-day Performance Period shall commence on the stated Go-Live date.

During the Performance Period, the Contractor is responsible for:

A. Meeting all Service Levels as stated in Section 2.5.2 Service Levels for TxEVER, and the associated remedies will apply.

B. Meeting acceptance criteria of the DSHS TxEVER system as defined as no "Priority 1 (P1) – Critical" or "Priority 2 (P2) – High" SRs remain open (i.e. any status other than CLOSED) at the end of the Performance Period. Priority of SRs is defined in Section 2.3.13 Priority of SR Tickets.

C. If accepted, upon completion of the ninety (90) calendar-day Performance Period, the Contractor may submit an invoice for the release of Retainage as identified in Section 2.9 Retainage due and HHSC/DSHS will issue payment in accordance with the stated payment terms.

D. If not accepted, an additional thirty (30) calendar-day Performance Period will commence upon the completion of the ninety (90) calendar-day Performance Period. To successfully complete the thirty (30) calendar-day Performance Period, the DSHS TxEVER system must meet the acceptance criteria stated above.

E. If accepted, upon completion of the additional thirty (30) calendar-day Performance Period, the Contractor may submit an invoice for the release of retainage due and HHSC/DSHS will issue payment in accordance with the stated payment terms.

F. If not accepted, at the end of the additional thirty (30) calendar-day Performance Period, the Contractor will be notified in writing of the following:
1. The DSHS TxEVER system has failed to meet the required acceptance criteria within the prescribed Performance Periods and retainage has been forfeited.
2. HHSC/DSHS will not grant another extension to the Performance Period.
3. HHSC's/DSHS' determination in proceeding with the contract.
4. At HHSC's/DSHS' sole option, HHSC/DSHS may issue Conditional Acceptance or provide notice that the contract will be cancelled for cause.
5. If HHSC/DSHS issues Conditional Acceptance, each Service Level and associated remedy will be strictly enforced without exception. Conditional Acceptance in no way limits or restricts DSHS's right to exercise any remedies stated in Article XV, Breach of Contract and Remedies for Non-Compliance, of the DSHS Core Vendor Contract General Provisions including the right to cancel the contract for cause.

2.3. TxEVER Application Support Responsibilities

TxEVER Application Support will commence on the mutually agreed upon Go-Live date and beginning of the 90-calendar-day Performance Period and continue for the life of the contract.

TxEVER Application Support will be provided and, at a minimum, include the services stated below.

2.3.1 Technical Services

A. Contractor shall provide Technical Services for all application modules and environments that include, but are not limited to, the following, which are subsequently described in further detail:
1. Execution of Post Go-Live Stabilization Plan,
2. Application Development Support,
3. Functional and Technical Application Support,
4. System Software Administration and Support,
5. Database Administration, and
6. Upgrade Management

2.3.2 Post Go-Live Stabilization Plan

Upon go-live of the DSHS TxEVER system, Contractor shall execute the HHSC/DSHS approved Post Go-Live Stabilization plan, as described in Section 2.2.6 Required Work Plans.

2.3.3 Application Development Support Services

A. The Contractor shall provide Application Development Support Services which include, but are not necessarily limited to, the following:
   1. Research,
   2. Analysis,
   3. Design,
   4. Programming,
   5. Testing,
   6. Documentation, and
   7. Implementation of enhancements.

B. The Contractor shall utilize industry-standard SDLC processes for Application Development, which consists of the following phases:
   1. Project Planning,
   2. Requirements Analysis for Software and Hardware,
   3. Design (includes development of FDDs and TDDs, using the same FDD and TDD templates),
   4. Code and Unit Test,
   5. System Test,
   6. Integration Test,
   7. User Acceptance Test,
   8. Deployment,
   9. Post-Production Support, and
   10. Maintenance.

2.3.4 Functional and Technical Application Support Services

A. The Contractor shall provide Functional and Technical Application Support Services which include, but are not limited to, the following:
   1. Correcting software errors,
   2. Changing current inputs/outputs as requested,
   3. Making modifications to applications and documentation,
   4. Making changes to batch processes,
   5. Interfaces,
   6. Reports,
   7. Writing ad hoc queries, and
   8. Ensuring accurate report runs.

B. At a minimum, the Contractor shall be responsible but not limited for the following:
   1. Maintaining,
   2. Controlling,

3. Editing,
4. Updating,
5. Deleting control values,
6. Adding control values,
7. Workflow route controls,
8. Workflow route control profile,
9. Workflow configurations, and
10. Documentation.

2.3.5 Security-Related Services

A. The DSHS TxEVER Security Administration Team will provide the following security-related Services for all DSHS TxEVER production and non-production environments:
   1. Assign TxEVER end user security roles,
   2. Maintain row level security configurations,
   3. Maintain security roles, and
   4. Maintain security permission lists.

B. The Contractor shall coordinate with and support the DSHS TxEVER Security Administration Team in order that the DSHS TxEVER Security Administration Team can most effectively carry out their responsibilities and comply with the HHS Enterprise Information Security Standards and Guidelines (EISSG).

2.3.6 System Software Administration and Support Services

The Contractor shall be responsible for System Software Administration and Support Services such as the following: administration, functional maintenance and technical support, software installation, configuration and troubleshooting of all DSHS TxEVER application environments.

2.3.7 Contractor Responsibilities

Once TxEVER is in production and HHSC/DSHS has user acceptance the system, the project moves into a production support phase. The Contractor shall be responsible for the following:

A. The Contractor shall follow DSHS approved Change Management and Release Management processes.

B. The Contractor working with the DSHS staff and, if the system will be hosted by HHSC/DSHS the DCS Vendor, shall provide a development, test, training, staging, and production environment.

C. If the system will be hosted by the HHSC/DSHS, the Contractor shall participate in weekly, scheduled Change Management meetings with DCS Vendor to plan, review, discuss and approve/reject any hosting services-related changes the DCS Vendor is scheduled to perform that impact the DSHS TxEVER application environments.

D. The Contractor shall configure and maintain database replication. If the system will be hosted by DSHS/HHSC, the Contractor shall configure and maintain database replication under the supervision of DSHS staff and the Contractor shall use the DSHS's replication tool to perform this task.

E. The Contractor shall periodically refresh the UAT databases from production for all TxEVER UAT database environments. The Contractor and HHSC/DSHS will mutually decide upon an established UAT refresh schedule. HHSC's/DSHS' expectation is the established UAT refresh schedule will be once every three (3) to six (6) months with an added provision the Contractor shall perform an ad hoc refresh, outside the established UAT refresh schedule, within five (5) business days of written notice from HHSC/DSHS.

F. The Contractor shall maintain the DSHS TxEVER Training Database environments, and upon request from HHSC/DSHS Training, refresh the "In-Use TxEVER Training Environments" from the "Master TxEVER Training Environment" when HHSC/DSHS Training needs to conduct TxEVER training sessions.

G. If the system will be hosted by HHSC/DSHS, the Contractor shall provide project management and technical/functional participation in disaster recovery testing, planning and documentation. If the Contractor''s additive alternative hosting solution is implemented, the Contractor shall provide disaster recovery testing, planning, and documentation.

H. The Contractor shall provide change management of software development, automatic builds. Development code and related database objects will be source controlled with the approved branching methodology.

I. The Contractor shall ensure DSHS TxEVER environments are configured in adherence to security standards established in the EISSG. Those security standards include, but may not be limited to, the following:
   1. TxEVER end users can only access DSHS TxEVER production or non-production environments via the DSHS TxEVER Production and UAT Portals,
   2. Backend 2-Tier Query access is not permitted directly into the Production databases,
   3. All interfaces must use ONC-approved transmission protocols,
   4. All database links must use encrypted communication at the database level, based on the RDBMS platform,
   5. Any interfaces containing PII, Confidential, or Restricted data must use PGP encryption with FIPS Mode enabled for 140-2 compliance,
   6. Only VSU management-approved users are allowed expanded security access to nonproduction environments for HHS Level 1 Support analysis and testing purposes, and
   7. Enable a tool to capture URLs and screenshots of every navigation step an end user takes within the TxEVER production system.

J. DSHS permits “power users” to directly query and report from the DSHS TxEVER Reporting Database. Contractor shall be responsible for providing technical support for these “power users” when establishing their secured access to the DSHS TxEVER Reporting Databases. During the transition phase of the project, the Contractor shall transition this support to DSHS.

K. Contractor shall provide Database Administration Services, which will include, but not be limited to: designing, creating and maintaining databases, including table and field comments, and keeping all DSHS TxEVER databases available and performing optimally. The Contractor shall perform a transfer of knowledge training for the DSHS DBA staff.

L. The Contractor shall provide upgrade management. As new versions of the database or operating systems become available, the Contractor shall assist in the upgrade of servers or databases at no additional cost to the State if the system will be hosted by HHSC/DSHS. If the Contractor’s additive alternative hosting solution is implemented, the Contractor shall upgrade servers and/or databases at no additional cost to the State.

2.3.8 Artifacts Associated with DSHS TxEVER Application Environment

Any and all artifacts associated with the DSHS TxEVER application environment, including, but not limited to code objects, functional and technical designs, system documentation, log files, data and data files, etc., are state-owned and not the Contractor’s proprietary or intellectual property. Therefore, for named DSHS staff:

A. The Contractor shall provide and support secured, read-only access to all DSHS TxEVER FDDs and TDDs.

B. The Contractor shall provide and support secured, read-only access to all DSHS TxEVER application environment file systems, including production, that contain files such as Tableau programs, archived incoming and outgoing interface files, etc.

C. The Contractor shall create, maintain and refresh from the DSHS TxEVER Production system (as requested by DSHS), and provide access to a special DSHS TxEVER development region whereby named DSHS staff can create, modify and test agency-specific TxEVER interfaces and reports. Processes and procedures for managing this special development region shall be defined, documented and approved by the Contractor and HHSC. Any migration of code objects developed and tested by named DSHS staff to the DSHS TxEVER Production system shall follow a defined process the Contractor and HHSC/DSHS have documented and approved.

D. The Contractor shall provide and support secured, read-only access to any existing log files in the file system as part of the production and non-production DSHS TxEVER application environments.

E. The Contractor shall provide and support secured, read-only access to any existing log files generated from any third-party support tool in the production and non-production DSHS TxEVER application environments.

2.3.9 Audit, Open Record Requests and Investigations

A. The Contractor shall assist HHSC/DSHS in promptly complying with audits, open records requests and investigations conducted by any third-party or HHSC/DSHS-internal auditing body. Assistance may include, but not necessarily be limited to providing the following:

1. DSHS TxEVER system security information,
2. DSHS TxEVER data requests, and
3. DSHS TxEVER application support processes and procedures

B. In order to comply with any findings cited during an audit conducted by any third-party or HHSC/DSHS-internal auditing body, the Contractor shall invoke HHSC/DSHS-approved, security-related changes associated with the TxEVER production and non-production application environments. Examples of security-related changes may include, but not necessarily be limited to the following:

1. New system password expiration rules,
2. Limitations on the number of individuals having root directory access,
3. Limitations on the number of individuals having access to generic, super-user accounts
4. User Authentication,
5. Limitations of the number of individuals have update privileges to TxEVER production environments, and
6. Database password rules.

2.3.10 Support Levels

A. ***Level 1 Support will be HHSC's responsibility***.

1. Level 1 Support includes:
    a. Support associated with general usage,
    b. Navigation within the application, and
    c. HHSC/DSHS-specific processes or procedures associated with using the applications within HHSC's/DSHS environment.
2. HHS/DSHS Level 1 Support staff will triage agency issues and enter issues into the HHSC/DSHS Enterprise Remedy Solution for Level 2 Support assistance only if HHSC is unable to resolve the issue.
3. It is HHSC's/DSHS' responsibility to report Level 2 Support issues in a format defined by HHSC/DSHS, which would include the following:
    a. An example of a problem
    b. Functional steps to recreate the problem
    c. Adverse impacts to HHSC/DSHS if not corrected
    d. A priority designation
4. Identification and granting of access for HHS Level 1 Support end users will be governed by HHSC's/DSHS established processes, procedures, and tools.

B. ***Level 2 Support shall be provided by the Contractor***.

1. Level 2 Support provides:
    a. Research,
    b. Analysis, and
    c. Resolution of issues unable to be resolved at Level 1 Support.
2. All Level 2 Support incidents require an associated ticket number to be used for tracking, status reporting and to assess the full quality of service support.
3. Level 2 Support Requests will be entered into the HHSC/DSHS Enterprise Remedy Solution. HHSC/DSHS support staff must be able to enter tickets, check status and independently, without aid of the Contractor, report upon any and all existing tickets via the SR Tracking/Reporting System as identified in Section 2.3.11 Support Request (SR) Processing.
4. Access to Level 2 support will only occur through HHSC's/DSHS' designated HHS Level 1 Support Staff.
5. The Contractor shall also establish a telephonic communications protocol that HHSC/DSHS can use for Level 2 Support, which will:
    a. Provide assistance to computer system users on a variety of issues.
    b. Identify, research, and resolve problems.
    c. Respond to telephone calls, e-mail and Level 2 personnel requests.
    d. Document, track, and monitor SRs to ensure a timely resolution.

C. ***<u>Level 3 Support shall be provided by Contractor</u>*** resources and/or third-party vendors supplying hardware, software, or other infrastructure components.
1. Level 3 Support will be accessed when Contractor's Level 2 analysts have determined that the particular problem resides in:
   a. Hardware,
   b. Software, or
   c. Other system components not supported by Contractor.
2. When a third-party vendor or VSU is required for Level 3 Support, the Contractor shall work directly with the vendor or VSU, via communication protocols established by the vendor or VSU, to ensure this support is delivered and will provide HHSC/DSHS with status reports for the problems.
3. Access to Level 3 support will only occur by and through the Contractor and HHSC/DSHS-designated resources.
4. For Level 3 Support, the Contractor shall enter tickets with the appropriate vendor or VSU for resolution of these incidents.

2.3.11 Support Request (SR) Processing

The Remedy SR Tracking/Reporting System will facilitate entry by HHSC/DSHS Level 1 Support Staff of SR's, henceforth referred to as an SR Ticket.

A. An SR Ticket may be submitted via:
1. Phone call to their help desk; or
2. Online into the SR Tracking/Reporting System, which assigns a number to each SR Ticket in order to track its resolution.

B. An HHSC Level 1 Support user will be able to perform the following actions in the SR Tracking/Reporting System:
1. Enter an SR Ticket
2. Recall an SR Ticket
3. Modify an SR Ticket
4. Add Attachments
5. Download a Report of SR Tickets
6. View System Documentation & Information
7. Include email addresses of additional parties who should be automatically notified when a SR Ticket is updated

C. The Contractor shall assign SR Tickets to one of their TxEVER analysts performing TxEVER Application Support. An Escalation Process must also be available for the appropriate issue or situation.

D. If, for any reason, an HHSC Level 1 Support user is unable to submit an SR Ticket, they must have a means to contact the Contractor via phone to submit an SR Ticket on their behalf.

E. A VSU Level 1 Support user who submits the SR Tickets receives email notifications:
   1. When an SR Ticket is initially submitted
   2. When a Note is added to the SR Ticket
   3. When an Attachment is added to the SR Ticket
   4. When the Success Respondent assigns the SR Ticket to a TxEVER analyst
   5. As the SR Ticket progresses through the system

F. The Contractor shall be responsible to provide the following services applicable to the Remedy SR Tracking/Reporting System, which include, but are not be limited to:
   1. Providing on-site support during normal published hours of operation from 7:00 A.M. to 6:00 P.M. CT Monday through Friday, excluding State of Texas holidays published by Texas State Auditor's Office (Note: HHSC/DSHS may request extended hours; for example, during legislative session).
   2. Providing authorized HHSC/DSHS Level 1 Support Staff access to the SR Tracking/Reporting System for HHSC/DSHS Level 1 Support Staff to open and review SR tickets outside of regular business hours.
   3. Logging, managing, and resolving incidents from authorized HHSC/DSHS Level 1 Support Staff contacts.
   4. Researching and analyzing technical issues more complex than general usage.
   5. Coordinating and/or resolving problems through third-party vendors for third-party application and tool-related solutions.
   6. Performing problem management (analysis and permanent resolution of systemic application or system defects).
   7. Ensuring access to the SR Tracking/Reporting tool remains secured and available only to authorized VSU Level 1 Support Staff since PII data will often exist within SR tickets.

2.3.12 Types of SR Tickets

The following types of SR Tickets will be available in the SR Tracking/Reporting System:

A. ***Incident (Fix):*** Any event that prevents an authorized HHS user from using DSHS TxEVER.
   1. An **Incident (Fix)** might be:
      a. An end user usage problem,
      b. A navigation problem within DSHS TxEVER,
      c. Inability to sign into DSHS TxEVER, or
      d. Or a system outage.
   2. If the HHSC/DSHS Level 1 Support user is unable to resolve an Incident internally, the HHSC/DSHS Level 1 Support user will call or submit an SR Ticket to the Contractor, defined as Level 2 Support.

B. ***Information Request:*** Where the HHSC/DSHS Level 1 Support user typically requests information to questions related to functional aspects of the DSHS TxEVER system, or the date when a particular legislative mandate or legislation becomes effective.

C. ***Work Request (Enhancement, Data Change or Query):*** Where the HHSC/DSHS Level 1 Support user requests work unrelated to **Incidents** or **Information Request**. Examples of a **Work Request may include:**
1. A request for data change
2. A configuration change
3. Portal content updates
4. A query
5. A training class
6. Enhancement
7. A request to refresh an environment such a test environment,
8. A security role/permission system change

2.3.13 Priority of SR Tickets

When an SR Ticket is created by an HHSC Level 1 Support user, the level of Priority must be selected for each SR Ticket. The user must select from the following Priority levels:

Priority	Characteristics
Priority 1 (P1) – Critical	• Production DSHS TxEVER outage • Production DSHS TxEVER performance degradation during business hours • Critical Security issue affecting Production DSHS TxEVER or data • DSHS TxEVER Reporting Database outage
Priority 2 (P2) – High	• Sandbox Database outage • Maintenance Database outage • Training Database outage • UAT Database outage • Sandbox performance impact • Issue impacts a large number of TxEVER or TxEVER interfacing users and no HHSC-acceptable workaround is available • Issue is frequently occurring • Issue impacts
Priority 3 (P3) – Medium	• Issue related to user acceptance testing (UAT) • Issue impacting multiple users and an HHSC acceptable workaround is available • Non-critical issues which are time sensitive (ex. File restore, missing drive mapping) • Non-impacting issue requiring additional troubleshooting and research
Priority	**Characteristics**
Priority 4 (P4) – Low	• Issue with Workflow tasks • Issue requiring Contractor to provide clarifying information

2.3.14 Response Times for Service Requests (SR) Tickets

The following charts reference the expected response times that the Contractor shall provide for SR Tickets, based on the type and priority of the SR Tickets.

In the case of a submitted SR Ticket that is forwarded to DSHS TxEVER, the SR Ticket will be set to a status of Awaiting Governance Approval. If the requested work is approved by DSHS TxEVER Governance, the original SR Ticket number will be added to all documentation for historical purposes.

Response Time: The time between the submittal of an SR Ticket and a resource being assigned to the SR Ticket and it is actively being worked on. Although an assignment has been made and an SR Ticket is being worked by technical staff, it may be that the source of the problem is still unknown. Consequently, the resolution of an SR Ticket may actually be completed by technical staff other than the analyst initially assigned.

[1] Response time during regular business hours will be as soon as possible for Priority 1 SR Tickets, but no longer than thirty (30) minutes. Outside of published hours of service, the Contractor will assign Priority 1 SR Tickets to on-call staff within thirty (30) minutes of opening the SR Ticket. The thirty (30) minutes provide the maximum time for on-call staff to be notified and assign the SR Ticket.

[2] Response times for Priority 2 – Priority 4 SR Tickets are business hours/days. That is, the response-time clock does not run outside of published hours of service. Consequently, for each Priority 2 – Priority 4 SR Ticket opened outside of published hours; the Contractor shall review the priority following the assignment of the SR Ticket on the next business day.

A. **Priority 1**:
Critical Incidents will result in the immediate assignment of resources until it is resolved or mitigated, pending resolution.

B. **Priority 1 – Critical and Priority 2:**
High Incidents adversely impacting HHSC/DSHS may be addressed by deploying immediate fixes. The Contractor must be committed to providing an anticipated resolution time for Priority 1 and 2 Incidents as soon as possible, following the determination of root cause.

Incident (Fix)

Priority Level	Response Time[1]
Priority 1 – Critical	< 30 minutes[1]
Priority 2 – High	< 2 business hours[2]
Priority 3 – Medium	< 8 business hours[2]
Priority 4 – Low	< 3 business days[2]

Information Requests

Priority Level	Response Time
Priority 1 – Critical	< 30 minutes
Priority 2 – High	< 2 business hours
Priority 3 – Medium	< 8 business hours
Priority 4 – Low	< 3 business days

Work Requests (Enhancement, Data Change or Query)

Priority Level	Response Time
Priority 1 – Critical	< 30 minutes
Priority 2 – High	< 2 business hours
Priority 3 – Medium	< 8 business hours
Priority 4 – Low	< 3 business days

For a high priority SR requiring immediate attention, the Contractor shall expedite the assignment if:

A. The SR is followed-up by telephone or e-mail by the HHS Level 1 Support user having created the SR; or,

B. A confirmation by e-mail or telephone is provided by Contractor Level 2 staff.

For any Critical or High SRs entered in the SR Tracking/Reporting System, Contractor shall immediately assign those SRs.

2.3.15 Evaluation of SRs

A. An SR will require a decision from DSHS TxEVER Governance (discussed more in Section 2.3.14 Response Times for SR Tickets) when:
   1. Request includes an Enhancement (additional functionality or a new report),
   2. Request includes a Fix that will require more than eighty (80) hours of effort or significantly impacts the affected module business owner(s).

B. Contractor shall ensure that all relevant SR Ticket information is entered correctly.

C. If no code or data changes are required, the SR will be completed as appropriate, including configuration changes and requests for information. These will be fulfilled as timely as possible, according to Priority and availability of resources.

D. Fixes that are estimated to take less than 80 hours will be worked according to Priority established by HHSC

2.3.16 Prioritizing Work of SRs

A. For each module, there are typically numerous SRs for various Request Types and Priorities. SRs will be worked in the following priority order:
   1. Critical
   2. High
   3. Medium
   4. Low

B. Within each priority the request types will be worked in the following order:
   1. Data Change
   2. Configuration
   3. Fix
   4. Information or Query
   5. Enhancement

The general approach should be to work the SRs in order of date created or approval by DSHS TxEVER Governance according to their Priority.

2.3.17 Approval of SRs through DSHS TxEVER Governance

A. SRs requiring DSHS TxEVER Governance approval shall be researched by the Contractor's functional staff and a summary of the SR as well as the proposed solution and level of effort will be submitted for review by DSHS TxEVER Governance. DSHS TxEVER Governance will have the option to Approve, Reject or Defer the SR. DSHS TxEVER Governance may vote to defer their decision until questions can be answered.

B. HHSC will also be asked to rate the Priority of that SR, as well as the Frequency of the occurrence. Frequency is defined as HHSC's assessment of how often the incident described in the SR occurs. These ratings will be used to calculate the Governance Priority of Approved SRs by calculating the sum of the Priority and Frequency. The numeric values for both the Priority and the Frequency are shown in the table below:

Priority	Frequency
Critical – 10	Always – 10
High – 7	Frequently – 8
Medium – 4	Occasionally – 5
Low - 1	Seldom – 3

C. If the SR is approved, the Governance Status will be set to APPROVED and the Governance.

D. Date will be set to the SR approval date. The score of each SR will be stored in Governance.

E. Priority and the SR will be worked in order starting from the highest priority. The SR Status will be set to ASSIGNED or IN WORK as appropriate.

F. If the SR is rejected, the Governance Status will be set to REJECTED and the Governance

G. Date will be set to the date the SR is rejected. The SR Status will be set to CLOSED.

H. If the SR is deferred, the Governance Status will be set to DEFERRED and future action on the SR will be determined according to the reason for the deferment.

2.3.18 Enhancement Scheduling Process

A. HHSC/DSHS will deliver prioritized Enhancement SRs to Contractor with high-level requirements.

B. Contractor shall then, working with HHSC/DSHS:
   1. Facilitate the documentation of detailed requirements,
   2. Perform analysis,
   3. Create specifications, and
   4. Estimate effort and system resource requirements for each Enhancement within the required HHSC/DSHS timeframes established for each Enhancement.

C. Both Contractor PM and HHSC/DSHS PM shall meet biweekly to engage in the Enhancement Scheduling Process.
   1. Issues that will be considered during the Enhancement Scheduling Process include, but are not limited to, the following:
      a. priority,
      b. time allocation impact,
      c. legislative mandates and
      d. work schedules.
   2. Enhancement schedules will depend on the system requirements, the urgency of the Enhancement(s), and other factors.
   3. Contractor shall provide the HHSC/DSHS PM with a new or updated work plan and timeline for each Enhancement no later than five (5) business days following the Enhancement Scheduling Process meetings.

D. Contractor shall be responsible for the timely delivery of all Enhancement SRs, as per the Enhancement schedule approved by the HHSC/DSHS PM.

E. If the TxEVER system is hosted by HHSC/DSHS, Contractor shall use Microsoft Team Foundation Server for Enhancement tracking. All Enhancement SRs will be evaluated and approved by the HHSC/DSHS PM prior to migration into the production system.

2.4. Performance Measures and Associated Remedies

HHSC/DSHS will monitor the performance of the contract issued under this RFP. All services and deliverables under the contract will be provided at an acceptable quality level and in a manner consistent with acceptable industry standard, custom, and practice.

2.4.1 Work Products; Compliance with Standards

A. Throughout the term of the Contract, all work products shall conform to the Texas Department of Information Resources (DIR) Texas Project Delivery Framework standards and templates. The current standards and templates are located on the DIR web site: http://www2.dir.state.tx.us/management/projectdelivery/projectframework/pages/framework.aspx

B. Any deviation from the DIR standards and templates must be approved in writing by HHSC/DSHS PM. The documentation shall be kept current by Contractor and made available to HHSC/DSHS in electronic format that is accessible through Microsoft Office software. Any electronic media produced during the course of the Contract shall be compatible with Microsoft Office software. HHSC/DSHS reserves the right to change its office software suite and Contractor must conform to the new standard within thirty (30) calendar days after receipt of written notice by HHSC/DSHS.

C. All work products, including but not limited to electronic media and/or hard copy documentation produced as a result of the Contract, become the property of HHSC/DSHS and may not be published or reproduced without the written permission of HHSC/DSHS.

2.5. Project Monitoring

2.5.1 General

Contractor shall provide resources sufficient to meet the Service Levels and Services activities set forth in this RFP and any resulting Contract, and produce the HHSC/DSHS -approved Enhancements from the Enhancement Scheduling Process.

2.5.2 Service Levels for TxEVER

Contractor shall comply with all the following key service levels when Contractor assumes responsibility for providing Services for DSHS TxEVER. Unless stated otherwise, metrics are calculated on a monthly basis and must be achieved 100% of the time.

Key Service Levels	Target Metric
DSHS TxEVER Production Availability	
TxEVER Production availability: • The DSHS TxEVER application components. • DSHS TxEVER scheduled batch processes and interfaces. • The DSHS TxEVER Reporting Databases. • The DSHS TxEVER statistical reporting databases.	Available 24 x 7, 99.5% of the time, except scheduled maintenance and declared disasters. Availability formula as follows: % Availability = ([Total – Unplanned Outages – Scheduled Maintenance] / [Total – Scheduled Maintenance]) x 100. • Total is the total number of minutes in a given calendar month. • Unplanned Outages are the total minutes unavailable in a given calendar month, and it's clearly demonstrated, via a formal Root Cause Analysis process, outages are directly caused by any deficiency of the Contractor performance of TxEVER Application Support responsibilities, as described in Section 2.3. • Scheduled Maintenance is the total minutes of scheduled maintenance in a given calendar month. Availability metric collection is suspended during a declared disaster event.
Adherence to Production and Non-Production Maintenance Windows	Maintenance hours are as follows: • Sundays from 5:00 a.m. to noon CT (weekly maintenance). • Thursdays from 10:00 p.m. to midnight (weekly software migrations). • Daily maintenance hours will be from 4:00 a.m. to 5:00 a.m. Extended maintenance periods will be approved by DSHS TxEVER Governance, as needed.
Non-Production Environment Availability for the following environments: • User Acceptance Testing environment • Maintenance environment • Sandbox environment • Training environments	7:00 a.m. to 6:00 p.m. Monday through Saturday and noon to 6:00 on Sunday 95% of the time except for scheduled maintenance and declared disasters. Additional availability outside of the above hours will occur when maintenance or other related activities are not being performed.

Key Service Levels	Target Metric
Note: The terms "available" or "availability" mean the full functionality of DSHS TxEVER application is available for use by authorized users. The term "outage" means that the DSHS TxEVER system is not available to all users for more than fifteen (15) minutes during the published hours of availability.	
Support Services	
DSHS TxEVER Support Availability	Monday-Friday 7:00 a.m.to 6:00 p.m. CT, excluding state-observed holidays, but will be staffed on skeleton crew days.
Scheduled Support outside of regular DSHS TxEVER On-Site Support Hours	Handled on a case-by-case basis where reasonable and HHSC has given five (5) business days advance notice to Contractor.
Support for Special State Processing	Staffed for DSHS TxEVER Governance-approved special state processing.
Support Requests (SRs)	

Key Service Levels	Target Metric
Incidents	
P1 Response Times	Within normal business hours, no more than 30 minutes 99% of the time. Outside of normal business hours, no more than 60 minutes 97% of the time for P1 outages and batch processing issues requiring immediate attention.

Key Service Levels	Target Metric
Incidents	
P2 Response Times	< 2 business hours 96% of the time.
P3 Response Times	< 8 business hours 95% of the time.
P4 Response Times	< 3 business days 95% of the time.
Information Requests (IRs)	
P1 Response Times	< 30 minutes 97% of the time.
P2 Response Times	< 2 business hours 96% of the time.
P3 Response Times	< 8 business hours 95% of the time.
P4 Response Times	< 3 business days 95% of the time.
Work Requests(WRs)	

Key Service Levels	Target Metric
Incidents	
P2 Response Times	< 2 business hours 96% of the time.
P3 Response Times	< 8 business hours 95% of the time.
P4 Response Times	< 3 business days 95% of the time.
P1 Response Times	< 30 minutes 97% of the time.
P2 Response Times	< 2 business hours 96% of the time.
P3 Response Times	< 8 business hours 95% of the time.
P4 Response Times	< 3 business days 95% of the time.
Reporting (Monthly)	
Service Metrics Report	No later than the 10th calendar day of each month following the end of the reporting period for the preceding month.
Corrective Action Plan	One for each missed service level target metric within ten (10) business days of written notice from HHSC/DSHS.
SR Ticket Report	No later than the 10th calendar day of each month following the end of the reporting period for the preceding month.
Maintenance and Enhancement Scheduling Report	No later than the 10th calendar day of each month following the end of the reporting period for the preceding month.
TxEVER Performance Report	No later than the 10th calendar day of each month following the end of the reporting period for the preceding month.
Outage Report	No later than the 10th calendar day of each month following the end of the reporting period for the preceding month.
Management of Project Personnel	
Adding or Replacing Personnel	
The resume packet information of any proposed additional or replacement personnel.	Provided to HHSC/DSHS within fifteen (15) calendar days prior to either the proposed start date of any additional personnel or, in the event of replacement personnel, the last working day of the replaced personnel.
Additional resumes for proposed personnel in the event HHSC/ DSHS has rejected previously	Provided to HHSC/DSHS within five (5) calendar days of HHSC's/DSHS' written notification of rejection of previously

Key Service Levels	Target Metric
Incidents	
P2 Response Times	< 2 business hours 96% of the time.
P3 Response Times	< 8 business hours 95% of the time.
P4 Response Times	< 3 business days 95% of the time.
proposed personnel.	proposed personnel.
On-site arrival of added or replacement personnel.	Approved personnel must be on-site at HHSC within thirty (30) calendar days of selection notice.
Replacing Personnel Removed by HHSC	
The resume packet information for proposed personnel to replace removed personnel.	Provided to HHSC/DSHS on or before the fifteenth (15th) calendar day following the last working day of the removed personnel.
Additional resumes for proposed personnel in the event HHSC/ DSHS has rejected previously proposed personnel.	Provided to HHSC/DSHS within five (5) calendar days of HHSC's/DSHS' written notification of rejection of previously proposed personnel.
On-site arrival of personnel to replace removed personnel.	Approved personnel must be on-site at HHSC/DSHS within thirty (30) calendar days of selection notice.

2.5.3 Delivery of Monthly Reports

A. Beginning on the 30th calendar day of the ninety (90) calendar day Performance Period and through the entirety of the contract, the Contractor shall provide to the HHSC/DSHS PM electronic copies of all required reports for the previous month's work.

B. Reports are due no later than the tenth (10) calendar day of each month. The Reports shall include the following:

1. ***Service Metrics Report*** that indicates whether or not the target metrics for each service level has been met.
    a. Within five (5) business days following receipt of the report by HHSC/DSHS, HHSC/DSHS will provide written notice to Contractor of any measure that fails to meet applicable standards.
    b. Any measure that fails to meet the target metric may incur the assessment of a remedy for non-compliance as stated in Section 2.7 Remedies for Non-Compliance with Service Levels for TxEVER.

2. ***Corrective Action Plan*** for any measures that fail to meet the applicable service level target metrics.
    a. The Contractor shall provide to HHSC/DSHS a Corrective Action Plan within ten (10) business days of receipt of notice from HHSC/DSHS of a failure to meet the required service level.
    b. HHSC/DSHS will review, accept or reject the Corrective Action Plan.

3. ***SR Ticket Report*** that lists the relevant details for every SR Ticket entered and worked during the previous month, grouped by SR Type.

4. ***Maintenance and Enhancement Scheduling Report***, which encompasses a 90-day projection of planned scheduled maintenance and enhancement work.

5. ***Outage Report*** that includes all application outages occurring for the previous month, and includes a Root Cause Analysis per outage reported.

C. The Contractor’s PM and HHSC/DSHS PM shall work to mutually decide and agree upon the exact content and format of each report.

2.5.4 Services Evaluation Criteria

A. The schedule of work to be performed will be reviewed and the accuracy of estimates determined by HHSC/DSHS. The Project Work Plans and Schedules will be used to establish the timeliness of completion and the quality of scheduling by Contractor. HHSC/DSHS will use, at a minimum, the following performance criteria to evaluate the provided Services:

1. Performance and adherence to approved specifications
2. Timeliness, accuracy, completeness and quality of Services delivered
3. Quality and completeness of SRs (including Enhancement SRs) and service activities (e.g. analysis, design, coding, testing, implementation, modifications, and fixes)
4. Timeliness and performance of implementations
5. Compliance with Service Levels
6. Adherence to HHSC/DSHS standards
7. Quality and performance in executing Transition/Turnover plans, if necessary
8. Effective and timely problem resolution
9. Cooperation
10. Communication
11. Adherence to the terms and conditions of the Contract

B. Without limitation on HHSC's/DSHS' evaluation, HHSC's/DSHS' review of Contractor’s Reports, HHSC's/DSHS' written acceptance, and similar requirements of this RFP, HHSC/DSHS will evaluate, prior to authorizing any payments under the Contract, Contractor’s Services, performance and deliverables against the Standards of Performance, Services Levels and with all other requirements of this RFP.

C. Prior to authorizing any such payments, HHSC/DSHS will evaluate and provide Contractor with HHSC's/DSHS written notice of acceptance of Contractor's Services, performance and deliverables as being in compliance with the Standards of Performance, Service Levels, and all other requirements of this RFP.

D. HHSC/DSHS is not required to provide Contractor with notice and opportunity to cure issues prior to HHSC's withholding written notice of acceptance, or HHSC's/DSHS withholding approval of payments under any resulting Contract.

2.5.5 Escalation Process for Failure to Meet Service Level Requirements

The following escalation procedures may be used by HHSC/DSHS to resolve problems related to Contractor's failure to meet Service Level requirements.

A. ***<u>Escalation Level 1</u>***

1. Service Levels will be tracked and monitored by HHSC/DSHS on a monthly basis, unless otherwise stated.
2. If a Service Level is not met, HHSC/DSHS will notify Contractor's PM of the failing measure(s) during the weekly status meeting.
3. Contractor shall respond to HHSC/DSHS within one (1) business day after such notification of the cause of the failure with the remedy established to resolve the failure.

B. ***<u>Escalation Level 2</u>***

1. In the event Contractor fails to resolve a failure through the escalation procedure described above, HHSC/DSHS will notify HHSC/DSHS management in writing, providing detail of the failure to be resolved.
2. HHSC/DSHS management will notify Contractor's management in writing of the failing measurement.
3. Contractor's management shall respond in writing within one (1) business day after such notification of the cause of the failure with the established remedy to resolve the failure.

C. ***<u>Escalation Level 3</u>***

1. Escalation to Level 3 will incur the assessment of liquidated damages, which will be mutually determined by HHSC/DSHS and the Contractor prior to the commencement of the Contract.
2. Once assessed, HHSC/DSHS will withhold the amount attributed to liquidated damages from HHSC's/DSHS payment to Contractor.

2.6. Disclosure of Security Breach

Contractor shall provide initial notice to HHSC's/DSHS' PM, HHSC's/DSHS Information Security Officer, and any other HHSC/DSHS designated personnel no later than two (2) hours following Contractor's discovery or reasonable belief that there has been unauthorized access, disclosure, compromise, or loss of sensitive or confidential HHSC/DSHS information ("security incident").

2.6.1 Written Report

A. Within twenty-four (24) hours of the discovery or reasonable belief of a security incident, Contractor shall provide a written report to HHSC's/DSHS' Information Security Officer detailing the circumstances of the security incident, which includes at a minimum:
   1. A description of the nature of the security incident
   2. The type of HHSC/DSHS information involved
   3. Who may have obtained the HHSC/DSHS information
   4. What steps Contractor has taken or will take to investigate the incident
   5. What steps Contractor has taken or will take to mitigate any negative effect of the incident
   6. A point of contact for additional information

B. No later than Noon CT each day thereafter, until the investigation is complete, Contractor shall provide HHSC's/DSHS' Information Security Officer with a written report regarding the status of the investigation and the following additional information as it becomes available:
   1. Who is known or suspected to have gained unauthorized access to the HHSC/DSHS information
   2. What additional steps Contractor has taken or will take to investigate the incident
   3. What steps Contractor has taken or will take to mitigate any negative effect of the incident
   4. What corrective action Contractor has taken or will take to prevent future similar unauthorized use or disclosure

C. Contractor shall confer with HHSC's/DSHS' Information Security Officer regarding the proper course of the investigation and risk mitigation. HHSC/DSHS reserves the right to conduct an independent investigation of any security incident, and should HHSC choose to do so, Contractor shall cooperate fully by making resources, personnel, and systems access available to HHSC/DSHS and HHSC's/DSHS' authorized representative(s). Subject to review and approval of HHSC's/DSHS' Information Security Officer, Contractor shall provide notice to individuals whose personal, confidential, or privileged data were compromised or likely compromised as a result of the security incident. If HHSC/DSHS, in its sole discretion, elects to send such notice, then all costs associated with preparing and providing notice will be reimbursed to HHSC/DSHS by Contractor. If Contractor does not reimburse such costs within thirty (30) days of HHSC's/DSHS' written request, then HHSC/DSHS will have the right to collect such costs by offsetting or reducing any future payments owed to Contractor.

2.6.2 Service Levels for Disclosure of Security Breaches

Contractor shall be responsible for adhering to the following key service levels regarding Disclosure of Security Breach throughout the entirety of this contract:

Key Service Level	Target Metric
Initial notification of unauthorized access, disclosure, compromise, or loss of sensitive or confidential HHSC/DSHS information	100% of the time, notification will occur within two (2) hours to HHSC/DSHS PM, HHSC/DSHS Information Security Officer, and any other HHSC/DSHS designated personnel, following Contractor's discovery or reasonable belief that there has been unauthorized access, disclosure, compromise, or loss of sensitive or confidential HHSC/DSHS information.
Written report detailing the circumstances of the security incident	100% of the time, a written report to HHSC/DSHS Information Security Officer detailing the circumstances of the incident within twenty-four (24) hours of the discovery or reasonabelief of a security incident.
Ongoing status of investigation after the initial notification of unauthorized access, disclosure, compromise, or loss of sensitive or confidential HHSC/DSHS information	100% of the time, a written report of the status of the investigation provided no later than noon CT each day to the HHSC/DSHS Information Security Officer until the investigation is complete.

2.7. Remedies for Non-Compliance with Service Levels for TxEVER

The Contractor shall include remedies for non-compliance with the service levels stated in Section 2.5.2 Service Levels for TxEVER and Section 2.6.2 Service Levels for Disclosure of Breach. HHSC and the Contractor will mutually determine these remedies. Remedies will be assessed based on conformance with the target metrics as reflected in the monthly Services Metrics Report as required in Section 2.5.3 Delivery of Monthly Reports.

2.8. Insurance

In addition to the insurance requirements stated in the DSHS Core Vendor Contract General Provisions, the Contractor shall also maintain the following coverage and meet the following requirements:

2.8.1 Coverage Requirements

The Contractor and **ALL** subcontractors will maintain the following:

A. ***Workers Compensation***:
   1. in accordance with Statutory Limits

B. **Employers Liability**:
   1. Each Accident $1,000,000 including:
      a. Disease- Each Employee $1,000,000
      b. Disease-Policy Limit $1,000,000

C. **Commercial Automobile Liability**:
   1. Coverage provided should include any automobile, including hired and non-owned automobile liability at:
      a. $1,000,000 combined single limit for each accident

D. ***Commercial General Liability***
   1. Will be occurrence based and include the following limits:
      a. Bodily Injury and Property Damage: Each occurrence limit: $1,000,000; Aggregate limit: $2,000,000
      b. Medical Expense each person: $5,000
      c. Personal Injury and Advertising Liability: $1,000,000
      d. Products /Completed Operations Aggregate Limit: $2,000,000
      e. Damage to Premises Rented to You: $50,000

E. ***Professional Liability:***
   1. $1,000,000 limit

F. **Commercial Crime Policy:**
   1. to include Blanket Employee Theft, Computer Fraud, and Funds Transfer Fraud:
      a. $1,000,000 limit

G. ***Privacy and Network Security***:
   1. Coverage provided should include Privacy Liability, Data Breach Expenses, Network Security Liability, and Network Extortion at:
      a. $1,000,000 combined single limit

2.8.2 Additional Terms of Coverage

A. All Certificates of insurance will identify the described location site and the service or product being provided to the agency.

B. All the insurance policies will be issued from a company or companies having both a Financial Strength Rating of “A” or better, and a Financial Size Category Class of “VII” or better from A. M. Best Company, Inc.

C. HHSC, its Board, Officers, Directors, and Employees will be named as Additional Insured’s to all applicable insurance coverage.

D. Policies with a retroactive date will have an extended reporting period of two years. When policies are renewed or replaced, the policy retroactive date must coincide with or proceed, start of work on the Agreement.

E. All policies should be on an occurrence-made basis with the exception of Professional Liability coverage. If Professional Liability coverage is written on a claims-made form, coverage will be continuous (by renewal or extended reporting period) for not less than twenty-four (24) months following completion of the Contract and acceptance by the state agency. Coverage, including any renewals, will have the same retroactive date as the original policy applicable to the Contract.

F. In the event of conflict between these requirements and those stated in Section 16.07, Insurance Coverage, of DSHS Core Vendor Contract General Provisions, these requirements will prevail.

2.8.3 Source Code Escrow

The Contractor shall be required to place all source code in escrow, to be turned over to DSHS if the contractor, goes out of business or is unable to fulfill the terms of the contract due to financial considerations.

2.9. Retainage

A. During the implementation of the TxEVER system, HHSC/DSHS will withhold 10% payment from the Contractor's monthly invoices for deliverables as retainage.

B. For any unexcused failure by the Contractor to provide an approved required deliverable in accordance with the established schedule for deliverables as stated in Pricing Schedule 1 in Attachment I - Cost Proposal, the retainage account will be reduced by an amount equal to 10% of the firm fixed cost for that deliverable. The retainage account will be further reduced by an additional 10% of the firm fixed cost for that deliverable every 30 calendar days thereafter until the deliverable is provided and approved by HHSC/DSHS.

C. During the Performance Period required in Section 2.2.14 Acceptance of TxEVER System, the Contractor shall submit reports in accordance with Section 2.5.3 Delivery of Monthly Reports. Remedies may be assessed for failure to meet the required Key Service Levels. Remedies will be assessed in accordance with Section 2.7 Remedies for Non-Compliance with Service Levels for TxEVER. Any assessed remedies will be deducted from the retainage account.

D. The retainage, less any assessed deductions for failure to provide an approved required deliverable or for Service Level remedy, will be paid to the Contractor upon acceptance of the successfully implemented DSHS TxEVER system at the completion of the Performance Period. As stated in Section 2.2.14 Acceptance of TxEVER System, the retainage account will be forfeited in its entirety if the implemented DSHS TxEVER System is not accepted or is conditionally accepted at the completion of the Performance Period.

2.10. Invoicing

Full invoicing requirements will be provided to the Contractor upon commencement of the contract. In addition, the following invoicing requirements will also apply. HHSC/DSHS will not make payment on any invoice containing omissions or errors.

2.10.1 TxEVER Implementation Phase

A. The Contractor may submit a monthly invoice for all unpaid deliverables for which HHSC/DSHS has provided written acceptance.

B. In addition to meeting HHSC's/DSHS' requirements for a valid invoice, the invoice must include:

1. An itemized list of each HHSC/DSHS-accepted deliverable for which the Contractor is seeking payment. Each itemized deliverable must map back to the approved schedule of deliverables in Pricing Schedule 1 in Attachment I - Cost Proposal.

2. Provide the agreed upon firm fixed cost for each deliverable being invoiced.
3. Provide a subtotal of the gross invoice amount.
4. Provide the 10% retainage amount that applies to the invoice.
5. Provide the net invoice amount (Firm Fixed Cost for all invoice deliverables less the 10% retainage).
6. The invoice must be submitted with a copy of HHSC's written acceptance of each deliverable being invoiced.

2.10.2 TxEVER Application Support Phase

A. The Contractor may submit a monthly invoice for TxEVER Application Support Services performed during the preceding month.

B. Submission of the invoice may not precede delivery of the monthly Service Metrics Report to HHSC/DSHS for the month being invoiced and HHSC's/DSHS' assessment of any remedies due to HHSC/DSHS as stated in Section 2.5.3 Delivery of Monthly Reports.

C. In addition to meeting HHSC's/DSHS' requirements for a valid invoice, the invoice must include:
1. The Monthly Service Period for which the invoice is being submitted.
2. Provide the required documentation stated below under Monthly Service Cost.
3. The invoice amount for the monthly TxEVER Application Support Services shall be equal to the lesser of the stated firm fixed cost for the monthly service as stated in Pricing Schedule 2 in Attachment I - Cost Proposal, or the actual cost for providing the monthly service, as calculated below for the Monthly Service Cost.
4. A listing of any remedies and the applicable amount(s) that were assessed during the Monthly Service Period being invoiced.
5. The net invoice amount for the monthly TxEVER Application Support Services less any remedies that were assessed.

2.10.3 Invoice Retainage Instructions

A. Retainage may be invoiced upon HHSC's/DSHS written acceptance of the DSHS TxEVER System as stated in Section 2.2.14 Acceptance of TxEVER System.
B. In addition to meeting HHSC's/DSHS' requirements for a valid invoice, the invoice must include:
1. A listing of the amount retained from each invoice paid during the TxEVER Implementation Phase with reference to the applicable invoice number.
2. A listing of any assessed deductions from the retainage account for failure to provide an approved, required deliverable in accordance with the approved schedule or Service Level remedy as stated in Section 2.9 Retainage.
3. The net invoice amount for Retainage

3. General Instructions and Proposal Requirements

3.1. Vendor Conference

HHSC/DSHS will hold a vendor conference on:

Date:	**October 08, 2015**
Time:	**09:00 AM to 10:30 AM**
Location:	**Texas Health and Human Services Commission** **AUSTIN-Brown Heatly - 1410** **4900 N Lamar Blvd;** **Austin, TX 78751**

Conference Call In:	**1-(877) 226-9790**
Access Code:	**8802578**

An Addendum will be issued, attaching the Vendor Conference PowerPoint presentation and will be posted to ESBD website prior to the RFP Vendor Conference. Respondents who participate via conference call must e-mail their attendance to the HHSC Point of Contact identified in Section 1.2.

Vendor conference attendance is strongly recommended, but is not required.

Respondents may email questions for the conference to the HHSC Point of Contact identified in Section 1.2 no later than five (5) days before the conference. HHSC/DSHS will also give respondents the opportunity to submit written questions at the conference. All questions should reference the appropriate RFP page and section number. HHSC/DSHS will attempt to respond to questions at the vendor conference, but responses are not official until posted in final form on the ESBD website. HHSC/DSHS reserves the right to amend answers prior to the proposal submission deadline.

3.2. Questions and Comments

All questions and comments regarding this RFP should be sent to the HHSC Point of Contact identified in Section 1.2. Questions must reference the appropriate RFP page and section number, and must be submitted by the deadline set forth in Section 1.3 Procurement Schedule. HHSC/DSHS will not respond to questions received after the deadline. HHSC's/DSHS' responses to vendor questions will be posted to the ESBD website. HHSC/DSHS reserves the right to amend answers prior to the proposal submission deadline.

Respondents must notify HHSC/DSHS of any ambiguity, conflict, discrepancy, exclusionary specification, omission or other error in the RFP by the deadline for submitting questions and comments. If a respondent fails to notify HHSC/DSHS of these issues, it will submit a proposal at its own risk, and if awarded a contract:

1. Shall have waived any claim of error or ambiguity in the RFP or resulting contract,
2. Shall not contest HHSC/DSHS interpretation of such provision(s), and
3. Shall not be entitled to additional compensation, relief or time by reason of the ambiguity, error, or its later correction.

3.3. Modification or Withdrawal of Proposal

Prior to the proposal submission deadline set forth in Section 1.3 Procurement Schedule, a respondent may:

1. Withdraw its proposal by submitting a written request to the HHSC Point of Contact identified in Section 1.2; or
2. Modify its proposal by submitting a written amendment to the HHSC Point of Contact identified in Section 1.2. HHSC may request proposal modifications at any time.

HHSC reserves the right to waive minor informalities in a proposal and award a contract that is in the best interest of the State of Texas. A "minor informality" is an omission or error that, in HHSC's determination, if waived or modified when evaluating proposals, would not give a bidder an unfair advantage over other bidders or result in a material change in the proposal or RFP requirements. When HHSC determines that a proposal contains a minor informality, it may at its discretion provide the respondent with the opportunity to correct.

3.4. Multiple Responses

A respondent may only submit one proposal as a prime contractor. If a respondent submits more than one proposal, HHSC may reject one or more of the submissions. This requirement does not limit a subcontractor's ability to collaborate with one or more respondents submitting proposals.

3.5. No Joint Proposals

HHSC will not consider joint or collaborative proposals that require it to contract with more than one respondent.

3.6. Use of Subcontractors

Subcontractors providing services under the contract shall meet the same requirements and level of experience as required of the respondent. No subcontract under the contract will relieve the respondent of the responsibility for ensuring the requested services are provided. Respondents planning to subcontract all or a portion of the work to be performed shall identify the proposed subcontractors.

3.7. Texas Public Information Act

3.7.1 General Requirement for the Release of Proposals

Proposals will be subject to the Texas Public Information Act (the Act), located in Texas Government Code Chapter 552 and may be disclosed to the public upon request. Subject to the Act, respondents may protect trade secret and confidential information from public release. If the respondent asserts that information provided in the proposal is trade secrets or other confidential information, it must be clearly marked such information in boldface type and include the words "confidential" or "trade secret" at top of the page. Furthermore, the respondent must identify trade secret or confidential information, and provide an explanation of why the information is excepted from public disclosure, on the Respondent Information and Disclosures form.

HHSC will process any request from a member of the public in accordance with the procedures outlined in the Act. Respondents should consult the Texas Attorney General's website www.oag.state.tx.us for information concerning the Act's application to proposals and potential exceptions to disclosure.

3.7.2 Publication of Major Contracts

Texas Government Code §322.020 requires HHSC to provide copies of "major contracts" to the Legislative Budget Board (LBB). If the contract resulting from this procurement falls within the Texas Government Code §322.020 definition of a "major contract," the LBB will provide the public with access to all contract documents. This includes the proposal, unless the respondent can demonstrate that all or part of the proposal is excepted from disclosure under the Texas Public Information Act. In such cases, the respondent shall be responsible for preparing, for HHSC's approval, an appendix that describes the exempt information contained in the proposal without disclosing its content, as required by Texas Government Code §322.020 (d), Instructions for Submitting Proposals.

3.8. Instructions for submitting Proposals

3.8.1 Number of Copies

Respondent must Submit **one (1) original and ten (10) of copies of the proposal**. An authorized representative must sign the original in ink. Mark one (1) as the original and the ten (10) as copy.

Respondent must submit one electronic copy of the entire proposal on a USB flash drive portable compatible with Microsoft Office 2010. **USB flash drives will contain all sections of the RFP as listed in** Section 3.9 Format and Content **along with the other required documentation. The USB drives should be organized with files that correspond to your Original bound proposal. USB should contain copies of all signature documents.**

Any disparities between the contents of the original printed proposal and the electronic proposal will be interpreted in favor of HHSC/DSHS.

Respondent must submit one copy of the cost proposal in a separate sealed envelope with the RFP submission labeled: Cost Proposal and include all supporting documents in accordance with Section 3.9.3 Part 3 Cost Proposal**.**

Respondent must submit one copy of the HUB Subcontracting Plan in a separate sealed envelope with the RFP submission labeled: HUB Subcontracting Plan and include all supporting documentation in accordance with the Attachment L - HSP Subcontracting Plan.

HHSC/DSHS will not accept telephone and facsimile proposals.

Any disparities between the contents of the original printed proposal and the electronic proposal will be interpreted in favor of HHSC/DSHS.

3.8.2 Submission

Respondent must Submit all copies of the proposal to HHSC Procurement and Contracting Services (PCS) Division no later the time and date as identified in Section 1.3 Procurement Schedule.

All submissions shall be date and time stamped when received by HHSC PCS. The clock in the HHSC PCS office is the official timepiece for determining compliance with the deadlines in this procurement.

HHSC reserves the right to reject late submissions. It is the respondent's responsibility to appropriately mark and deliver the proposal to HHSC by the specified date as identified in Section 1.3 Procurement Schedule.

Physical Address for hand delivery and overnight and commercial mail:

HHSC Procurement and Contracting Services Building
Bid Room
Attn: Diana McIntosh, CTPM
1100 W 49th Street , MC 2020
Service Building (Building S)
Austin, Texas 78756

The box or container used in submitting your proposal should be clearly marked with:

1. **RFP number**
2. **RFP Name**
3. **Proposal Due Date/Time**

All proposals become the property of HHSC/DSHS after submission. Proposals may not include materials or pamphlets not specifically requested by this RFP.

3.8.3 Additional Requirements

Respondent proposal must be:

- clearly legible;
- sequentially page-numbered
- respondent's name at the top of each page;
- organized in the sequence outlined in Section 3.9 Format and Content;
- bound in a notebook or cover;
- correctly identified with the RFP number and submittal deadline;
- responsive to all RFP requirements;
- typed on 8½ by 11 paper;
- in Arial or Times New Roman font, size 12 for normal text, no less than size 10 for tables, graphs and appendices; and
- no more than 250 total pages. ***** Total Page Count is broken down as follows:**
  Total Page Count for Base is no more than 200.
  Total Page Count for Imaging is 25 pages.
  Total Page Count for Hosting is 25 pages.
  excluding required forms and resumes and Attachments

Respondent proposal may not include materials or pamphlets not specifically requested in this RFP.

3.9. Format and Content

Respondent proposal must consist of the following parts:

- **Part 1 – Business Proposal**
- **Part 2 – Technical Proposal**
- **Part 3 – Cost Proposal**

3.9.1 Part 1 – Business Proposal

Complete proposals consist of the sections shown below. One (1) original and Ten (10) paper copies of your proposal should be placed in separate binders, organized as below.

The Business Proposal must include the following sections:

- Section 1 – Executive Summary
- Section 2 – Corporate Background and Experience
- Section 3 – Plans and Approaches
- Section 4 – Proposed Remedies
- Section 5 – Value-added Benefits
- Section 6 – Assumptions
- Section 7 – Appendices
- Section 8 – HUB Subcontracting Plan, in accordance with Section 4
- Section 9 – Certifications and Other Required Forms

3.9.1.1. Section 1 – Executive Summary

In this section, condense and highlight the content of the Business Proposal to provide HHSC/DSHS with a broad understanding of the respondent's approach to meeting the RFP's business requirements. The summary must demonstrate an understanding of HHSC's/DSHS' goals and objectives for this procurement.

3.9.1.2. Section 2 – Corporate Background and Experience

This section details the respondent's corporate background and experience. If the respondent proposes to use subcontractor(s), it must describe any existing or ongoing relationships with the subcontractor(s), including project descriptions.

The section should include the following information:

1. <u>Corporate Background and Experience</u>

1.1 This section details the respondent's corporate background and experience. If the respondent proposes to use subcontractor(s), it must describe any existing or ongoing relationships with the subcontractor(s), including project descriptions. The section should include the following information:

1.2 Describe the respondent's corporate background as it relates to projects similar in scope and complexity to the project described in this RFP. Include a description and at least three (3) references from projects performed within the last five (5) years that demonstrate the respondent's ability to perform the Statement of Work described in the RFP. References are to include the following: Include contract dates, contact information, customer points of contact, address, telephone number and email address

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1.3 Respondent must explain whether it performed the work as a prime contractor or subcontractor. If the Respondent performed the work as a subcontractor, the respondent must describe the scope of subcontracted activities. If the proposal includes the use of subcontractors, include a similar description of each subcontractor's corporate background and experience. Include a description and at least three (3) references from projects performed within the last five (5) years that demonstrate the respondent's ability to perform the Statement of Work described in the RFP. Include contract dates and contact information (customer points of contact, address, telephone number and email address).

1.4 HHSC/DSHS will be conducting reference checks upon receipt of Respondent's Proposal. Included in this RFP is Attachment P - Vendor Reference Questionnaire, that HHSC/DSHS will use to check references.

1.5 References that do not confirm that Respondent has met the minimum qualifications or that are inconsistent with Respondents representations may result in the disqualification of the Response.

2. Qualifications of Personnel

2.1 Respondent shall identify and describe the skill sets of the Respondent's key personnel
2.2 For each person designated as "Key Personnel", Respondent shall provide at least three (3) references from recent projects.
2.3 References may not be the Respondent's or subcontractor's employees.

3. Résumés

3.1 Identify and describe the respondent's and its subcontractor's proposed labor skill set and provide résumés of all proposed key personnel (as defined by the respondent).
3.2 Résumés must demonstrate experience germane to the position proposed.
3.3 Résumés should include work on projects cited under the respondent's corporate experience, and the specific functions performed on such projects.
3.4 Each résumé should include at least three (3) references from recent projects.
3.5 References may not be the respondent's or subcontractor's employees.

4. Financial Capacity

4.1 Respondent must supply evidence of financial stability sufficient to demonstrate reasonable stability and solvency appropriate to the requirements of this procurement.
4.2 Respondents must submit a current financial statement plus two (2) years of audited financial reports including all supplements, management discussion and analysis, and actuarial opinions. At a minimum, such financial statements and reports will include: balance sheet; statement of income and expense; statement of changes in financial position; cash flows; and capital expenditures.
4.3 If the respondent is a corporation that is required to report to the Securities and Exchange Commission, it must submit its two most recent SEC Forms 10K, Annual Reports.
4.4 If any change in ownership is anticipated during the twelve (12) months following the proposal due date, the Respondent must describe the circumstances of such change and indicate when the change is likely to occur.

5. Corporate Guarantee

5.1 If the respondent is substantially owned or controlled, in whole or in part, by one or more other legal entities, the respondent must submit the information required under the "Financial Capacity" section above for each such entity, including the most recent financial statement for each such entity.
5.2 Respondent must also include a statement that the entity or entities will unconditionally guarantee performance by the respondent of each and every obligation, warranty, covenant, term and condition of the contract.
5.3 If HHSC/DSHS determines that an entity does not have sufficient financial resources to guarantee the respondent's performance, HHSC/DSHS may require the respondent to obtain another acceptable financial instrument or resource from such entity, or to obtain

an acceptable guarantee from another entity with sufficient financial resources to guarantee performance.

6. **Bonding**

HHSC/DSHS reserves the right to require the Respondent to procure one or more performance, fidelity, payment or other bond, if during the term of the contract. HHSC/DSHS in its sole discretion determines that there is a business need for such requirement.

3.9.1.3. Section 3 – Plans and Approaches

Describe the respondent's proposed processes and methodologies for providing all components of the Mission Results/ Statement of Work described in Section 2, including the respondent's approach to meeting the Section 2.1 Project Schedule

A. To demonstrate the Respondent's understanding of the services required, the Respondent shall submit samples of the following plans in accordance with Section 2.2.6 Required Work Plans that the Respondent developed for other projects:
   1. Project Work Plan
   2. Functional Test Plans
   3. Performance and Load Testing Plan
   4. Project Deployment Plan

B. Respondent must describe the approach it would employ to meet the requirements of Section 2.2.7 Project Personnel, Section 2.2.8 Project Manager, and Section 2.2.9 Communication between HHSC/DSHS and Respondent. The approach could include development of any additional plans, other than those already required in the RFP, that the Respondent deems necessary to meet those requirements.

C. Respondent must describe the approach it would employ to meet the requirements of Section 2.2 Statement of Work. The approach could include development of any additional plans, other than those already required in the RFP, that the Respondent deems necessary to meet the requirements of those sections.

D. Respondent must describe the approach it would employ to meet the requirements of Section 2.3 TxEVER Application Support Responsibilities.

3.9.1.4. Section 4 - Proposed Remedies

Respondent shall propose remedies for each of the Key Service Levels identified in Section 2.5.2 Service Levels for TxEVER and Section 2.6.2 Service Levels for Disclosure of Breach.

For each Key Service Level, the Respondent must propose the following:

A. Increment value to apply when measuring the incremental performance deviation from the Target Metric.
B. Liquidated Damage amount to assess in accordance with each incremental performance deviation from the Target Metric.

For example, a respondent might propose the following for the Key Service Level of Production Availability of the DSHS TxEVER System hosted at SDC:

A. Increment: Each (fill in the blank)% below the Target Metric

B. Liquidated Damages: $(fill in the blank)

3.9.1.5. Section 5 – Value-added Benefits

Describe any services or deliverables that are not required by the RFP that the respondent proposes to provide at no additional cost to HHSC/DSHS. Respondents are not required to proposed value-added benefits, but inclusion of such benefits may result in a more favorable evaluation.

3.9.1.6. Section 6 – Assumptions

State any business, economic, legal, programmatic, or practical assumptions that underlie the respondent's response to the Business Proposal. HHSC/DSHS reserves the right to accept or reject any assumptions. All assumptions not expressly identified and incorporated into the contract resulting from this RFP are deemed rejected by HHSC/DSHS.

3.9.1.7. Section 7 – Appendices

Respondents are not required to submit appendices to the Business Proposal.

3.9.1.8. Section 8 – HUB Subcontracting Plan

Attach the Respondents Historically Underutilized Business (HUB) Subcontracting Plan. Instructions for completing this section are in Section 4 of the RFP.

Respondents must submit one (1) copy of the HUB Subcontracting Plan (HSP), in accordance with the RFP, in a separate sealed envelope, with the RFP submission, labeled: HUB Subcontracting Plan (HSP), and include all supporting documentation in accordance with the HSP form, Attachment L - HUB Subcontracting Plan **.**

3.9.1.9. Section 9 – Certifications and Other Required Forms

Respondents must submit the following required forms with their proposals:

1. Child Support Certification
2. Debarment, Suspension Ineligibility, and Voluntary Exclusion of Covered Contracts
3. Federal Lobbying Certification
4. Nondisclosure Statement
5. Required Certifications
6. Anti-Trust Certification

The required forms are located on HHSC's website, under the HHSC Business Opportunities link. HHSC/DSHS encourages respondents to carefully review all of these forms and submit questions regarding their completion prior to the deadline for submitting questions reference Section 1.3 Procurement Schedule.

3.9.2 Part 2 – Technical Proposal

Respondents must provide a detailed description of the proposed technical solution, which must support all business activities and requirements described in the RFP. The Technical Proposal must reflect a clear understanding of the nature of the work undertaken, and must include a detailed descriptions of the proposed system(s).

The Technical Proposal must include a description of the following system components, at a minimum:

- Section 1 – Technology Architecture
- Section 2 – Capacity Management and System Availability
- Section 3 – Software and Hardware Components
- Section 4 – Systems Integration
- Section 5 – System Administration, Support, and Maintenance
- Section 6 – System Security and Disaster Recovery
- Section 7 – Performance Monitoring and Management
- Section 8 – Value-added Benefits
- Section 9 – Assumptions
- Section 10 – Appendices

3.9.2.1 Section 1 – Technology Architecture

Respondent is to provide a detailed description of the proposed technology architecture and include one or more diagrams that detail the relationships between key technical components.

3.9.2.2 Section 2 – System Availability and Capacity

Respondent is responsible for delivering a cost-effective, high-availability environment that minimizes the frequency and impact of system failures, reduces downtime, and minimizes recovery time in the event of catastrophic failure. In this section, provide details on the respondent's approach to providing a highly available system. In addition, provide details on the proposed approach to monitoring system performance and use and planning, sizing and controlling the system as capacity needs change.

3.9.2.3 Section 3 – Software and Hardware Components

Respondent is to provide details on the software and hardware components the respondent proposes to use in its system. This includes, but is not limited to, the proposed server topology, specifications for the hardware components, and data storage components. The respondent should also include details on the tools and utilities used to design, build, test, deploy, report, monitor, and operate the system and its components.

3.9.2.4 Section 4 – Systems Integration

Describe the respondent's approach to integrating the proposed system with other information systems.

3.9.2.5 Section 5 – System Administration, Support, and Maintenance

Detail the respondent's approach to administering the system and system components. Detail the proposed approach to system support, including the levels of support offered and the process for requesting support. In addition, provide a summary of the respondent's proposed strategy for maintaining and repairing the system.

3.9.2.6 Section 6 – System Security and Disaster Recovery

Detail on the respondent's approach to security architecture, including the development and implementation measures that will provide security and protection for the system. Describe the proposed backup and recovery processing approach, and proposed virus protection strategy. Describe the respondent's general approach to reestablishing operations in the event of a catastrophe, as well as its approach to providing HHSC/DSHS with a disaster recovery plan. Provide specifications on any hardware and software components utilized by the proposed security and disaster recovery solutions.

3.9.2.7 Section 7 – Performance Monitoring and Management

Describe the respondent's proposed methodology for monitoring and reporting system performance, as well as the respondent's proposed approach to technology management. This includes the methods for centrally managing system resources such as servers, backup, archiving, and recovery equipment, databases and applications. Address methods for auditing, tracing and scanning the system. Provide details on the use of specialized tools the respondent shall use to automate and track monitoring and management activities.

3.9.2.8 Section 8 - Value-added Benefits

Respondent is to describe any enhancements or additions to the system that are not required by the RFP that the respondent proposes to provide at no additional cost to HHSC/DSHS. Respondents are not required to proposed Value-added benefits, but inclusion of such benefits may result in a more favorable evaluation.

3.9.2.9 Section 9 – Assumptions

Respondent is to state any business, economic, legal, programmatic, or practical assumptions that underlie the respondent's response to the Technical Proposal. HHSC/DSHS reserves the right to accept or reject any assumptions. All assumptions not expressly identified and incorporated into the contract resulting from this RFP are deemed rejected by HHSC/DSHS.

3.9.2.10 Section 10 – Appendices

Respondents are not required to submit appendices to the Technical Proposal.

3.9.3 Part 3 – Cost Proposal

RFP Attachment I - Cost Proposal includes the format for submitting cost proposals. Respondents must complete this form and place it in a separate, sealed package, clearly marked with the respondent's name, the RFP number, and the RFP submission date.

Respondents must base their Attachment I - Cost Proposals of Section 2.2 Statement of Work. This section should include any business, economic, legal, programmatic, or practical assumptions that underlie the Attachment I - Cost Proposal . HHSC/DSHS reserves the right to accept or reject any assumptions. All assumptions not expressly identified and incorporated into the contract resulting from this RFP are deemed rejected by HHSC/DSHS.

Respondents must separately identify value-added benefits, cost-savings and cost-avoidance methods and measures, and the effect of such methods on the Attachment I - Cost Proposal and Section 2.2 Statement of Work.

A. Schedule 1:

1. Respondent shall designate a list of scheduled deliverables with an associated firm, fixed cost price per deliverable for the TxEVER Implementation.
2. No later than thirty (30) calendar days after the date stated in the contract for the commencement of work, the Contractor, with agreement and written approval from the HHSC/DSHS PM, may revise the list of scheduled deliverables in Schedule 1 of Attachment I - Cost Proposal
3. Any such revisions will not result in any amount greater than the total firm, fixed cost of all deliverables submitted in Schedule 1 of Attachment I - Cost Proposal, of the Contractor's RFP proposal.

B. Schedule 2:

1. Schedule 2 Attachment I - Cost Proposal, Respondent shall designate a firm, fixed cost for TxEVER Application Support Services for each designated period of the contract, including the optional extension periods.
2. For each designated period in Schedule 2 Attachment I - Cost Proposal, Respondent shall provide the documentation required in each column detailing how the associated stated cost for that period was determined.

4. Historically Underutilized Business Participation

In accordance with Texas Government Code Chapter 2161, Subchapter F, §2161.252 (b) a **proposal that does not contain a HUB Subcontracting Plan (HSP) is non-responsive and will be rejected without further evaluation**.

In addition, **if HHSC determines that the HSP was not developed in good faith, it will reject the proposal for failing to comply with material RFP specifications.**

4.1 Introduction

The sole point of contact for HUB inquiries:

Michael Herman, CTPM, HUB Coordinator
Health and Human Services Commission (HHSC)
Procurement & Contracting Services (PCS)
9100 W 49th Street
Austin, TX 78756
Mail Code: 2020
Phone: (512) 406-2523
Email: michael.herman@hhsc.state.tx.us

HHSC is committed to promoting full and equal business opportunities for businesses in state contracting in accordance with the goals specified in the State of Texas Disparity Study. HHSC encourages the use of Historically Underutilized Businesses (HUBs) through race, ethnic and gender-neutral means. HHSC has adopted administrative rules relating to HUBs and a Policy on the Utilization of HUBs which is located on HHSC's website.

Pursuant to Texas Government Code §2161.181 and §2161.182 and HHSC's HUB policy and rules, HHSC is required to make a good faith effort to increase HUB participation in its contracts. HHSC may accomplish the goal of increased HUB participation by contracting directly with HUBs or indirectly through subcontracting opportunities.

4.2 HHSC's Administrative Rules

HHSC has adopted the CPA's HUB rules as its own. HHSC's rules are located in the Texas Administrative Code Title 1, Part 15, Chapter 391, Subchapter G and the CPA rules are located in Texas Administrative Code Title 34, Part 1, Chapter 20, Subchapter B. If there are any discrepancies between HHSC's administrative rules and this RFP, the rules shall take priority.

4.3 Statewide Annual HUB Utilization Goal

The CPA has established **statewide annual HUB utilization goals** for different categories of contracts in Texas Administrative Code Title 34, Part 1, Chapter 20, Subchapter B, §20.13 of the HUB rules. In order to meet or exceed the **statewide annual HUB utilization goals**, HHSC encourages outreach to certified HUBs. Contractors shall make a good faith effort to include certified HUBs in the procurement process.

This procurement is classified as an **All Other Services** procurement under the CPA rule and therefore has a **statewide annual HUB utilization goal** of ***26.0%*** per fiscal year.

4.4 Required HUB Subcontracting Plan

In accordance with Texas Government Code Chapter 2161, Subchapter F, §2161.252 each state agency that considers entering into a contract with an expected value of $100,000 or more over the life of the contract (including any renewals) shall, before the agency solicits bids, proposals, offers, or other applicable expressions of interest, determine whether subcontracting opportunities are probable under the contract.

In accordance with Texas Administrative Code Title 34, Part 1, Chapter 20, Subchapter B, §20.14(a)(1)(C) of the HUB Rule, state agencies may determine that subcontracting is probable for only a subset of the work expected to be performed or the funds to be expended under the contract. If an agency determines that subcontracting is probable on only a portion of a contract, it shall document its reasons in writing for the procurement file.

HHSC has determined that subcontracting opportunities are probable for this RFP. As a result, the respondent must submit an HSP with its proposal. The HSP is required whether a respondent intends to subcontract or not.

In the HSP, a respondent must indicate whether it is a Texas certified HUB. Being a certified HUB does not exempt a respondent from completing the HSP requirement.

HHSC shall review the documentation submitted by the respondent to determine if a good faith effort has been made in accordance with solicitation and HSP requirements. During the good faith effort evaluation, HHSC may, at its discretion, allow revisions necessary to clarify and enhance information submitted in the original HSP.

If HHSC determines that the respondent's HSP was not developed in good faith, the HSP will be considered non-responsive and will be rejected as a material failure to comply with advertised specifications. The reasons for rejection shall be recorded in the procurement file.

Respondent must submit one (1) copy of the HUB Subcontracting Plan (HSP), in accordance with Section 3.15.1 of the RFP, in a separate sealed envelope with the RFP submission, labeled: HUB Subcontracting Plan (HSP), and include all supporting documentation in accordance with the HSP form, Attachment M.

4.5 CPA Centralized Master Bidders List

Respondents may search for HUB subcontractors in the CPA's Centralized Master Bidders List (CMBL) HUB Directory, which is located on the CPA's website at http://www2.cpa.state.tx.us/cmbl/cmblhub.html. For this procurement, HHSC has identified the following class and item codes for potential subcontracting opportunities:

National Institute of Governmental Purchasing (NGIP) Class/Item Code(s):

Class 208 Item 80: Software, Microcomputer (Not Otherwise Classified)
Class 915 Item 96: Design Services, Web page
Class 918 Item 28: Computer Hardware Consulting Services
Class 918 Item 29: Software Consulting
Class 920 Item 03: Application service Provider (ASP) (Web Based Hosted)
Class 920 Item 07: Applications Software for Microcomputer Systems: Business, Mathematical/Statistical, Medical, Scientific, etc.
Class 920 Item 18: Computer Aided Design Services
Class 920 Item 40: Programming Services
Class 920 Item 66: Information Technology (IT) Services

Respondents are not required to use, nor limited to using, the class and item codes identified above, and may identify other areas for subcontracting.

HHSC does not endorse, recommend nor attest to the capabilities of any company or individual listed on the CPA's CMBL. The list of certified HUBs is subject to change, so respondents are encouraged to refer to the CMBL often to find the most current listing of HUBs.

4.6 HUB Subcontracting Procedures – If a Respondent Intends to Subcontract

An HSP must demonstrate that the respondent made a good faith effort to comply with HHSC's HUB policies and procedures. The following subparts outline the items that HHSC will review in determining whether an HSP meets the good faith effort standard. A respondent that intends to subcontract must complete the HSP to document its good faith efforts.

4.6.1 Identify Subcontracting Areas and Divide Them into Reasonable Lots

A respondent should first identify each area of the contract work it intends to subcontract. Then, to maximize HUB participation, it should divide the contract work into reasonable lots or portions, to the extent consistent with prudent industry practices.

4.6.2 Notify Potential HUB Subcontractors

The HSP must demonstrate that the respondent made a good faith effort to subcontract with HUBs. The respondent's good faith efforts shall be shown through utilization of all methods in conformance with the development and submission of the HSP and by complying with the following steps:

Divide the contract work into reasonable lots or portions to the extent consistent with prudent industry practices. The respondent must determine which portions of work, including goods and services, will be subcontracted.

Use the appropriate method(s) to demonstrate good faith effort. The respondent can use either method(s) 1, 2, 3, 4 or 5:

4.6.2.1 Method 1: Respondent Intends to Subcontract with only HUBs:

The respondent must identify in the HSP the HUBs that will be utilized and submit written documentation that confirms 100% of all available subcontracting opportunities will be performed by one or more HUBs; **or,**

4.6.2.2 Method 2: Respondent Intends to Subcontract with HUB Protégé(s):

The respondent must identify in the HSP the HUB Protégé(s) that will be utilized and should: include a fully executed copy of the Mentor Protégé Agreement, which must be registered with the CPA prior to submission to HHSC, and identify areas of the HSP that will be performed by the Protégé.

HHSC will accept a Mentor Protégé Agreement that has been entered into by a respondent (Mentor) and a certified HUB (Protégé) in accordance with Texas Government Code §2161.065. When a respondent proposes to subcontract with a Protégé(s), it does not need to provide notice to three (3) HUB vendors for that subcontracted area.

Participation in the Mentor Protégé Program, along with the submission of a Protégé as a subcontractor in an HSP, constitutes a good faith effort for the particular area subcontracted to the protégé; **or,**

4.6.2.3 Method 3: Respondent Intends to Subcontract with HUBs and Non-HUBs (Meet or Exceed the Goal):

The respondent must identify in the HSP and submit written documentation that one or more HUB subcontractors will be utilized and that the aggregate expected percentage of subcontracts with HUBs will meet or exceed the goal specified in this solicitation. When utilizing this method, only HUB subcontractors that have existing contracts with the respondent for five years or less may be used to comply with the good faith effort requirements.

When the aggregate expected percentage of subcontracts with HUBs meets or exceeds the goal specified in this solicitation, respondents may also use non-HUB subcontractors; **or,**

4.6.2.4 Method 4: Respondent Intends to Subcontract with HUBs and Non-HUBs (Does Not Meet or Exceed the Goal):

The respondent must identify in the HSP and submit documentation regarding both of the following requirements:

Written notification to minority or women trade organizations or development centers to assist in identifying potential HUBs of the subcontracting opportunities the respondent intends to subcontract.

Respondents must give minority or women trade organizations or development centers at least seven (7) working days prior to submission of the respondent's response for dissemination of the subcontracting opportunities to their members. A list of minority and women trade organizations is located on CPA's website under the Minority and Women Organization Links.

- Written notification to at least three (3) HUB businesses of the subcontracting opportunities that the respondent intends to subcontract. The written notice must be sent to potential HUB subcontractors prior to submitting proposals and must include:
    - a description of the scope of work to be subcontracted;
    - information regarding the location to review project plans or specifications;
    - information about bonding and insurance requirements;
    - required qualifications and other contract requirements; and
    - a description of how the subcontractor can contact the respondent.

- Respondents must give potential HUB subcontractors a reasonable amount of time to respond to the notice, at least seven (7) working days prior to submission of the respondent's response unless circumstances require a different time period, which is determined by the agency and documented in the contract file.

- Respondents must also use the CMBL, the HUB Directory, and Internet resources when searching for HUB subcontractors. Respondents may rely on the services of contractor groups, local, state and federal business assistance offices, and other organizations that provide assistance in identifying qualified applicants for the HUB program.

4.6.3 Written Justification of the Selection Process

HHSC will make a determination if a good faith effort was made by the respondent in the development of the required HSP. One or more of the methods identified in the previous sections may be applicable to the respondent's good faith efforts in developing and submission of the HSP. HHSC may require the respondent to submit additional documentation explaining how the respondent made a good faith effort in accordance with the solicitation.

A respondent must provide written justification of its selection process if it chooses a non-HUB subcontractor. The justification should demonstrate that the respondent negotiated in good faith with qualified HUB bidders and did not reject qualified HUBs who were the best value responsive bidders.

4.7 Method 5: Respondent Does Not Intend to Subcontract

When the respondent plans to complete all contract requirements with its own equipment, supplies, materials and/or employees, it is still required to complete an HSP.

The respondent must complete the "Self Performance Justification" portion of the HSP, and attest that it does not intend to subcontract for any goods or services, including the class and item codes identified in Section 4.5. In addition, the respondent must identify the sections of the proposal that describe how it will complete the Scope of Work using its own resources or provide a statement explaining how it will complete the Scope of Work using its own resources. The respondent must agree to comply with the following if requested by HHSC:

- provide evidence of sufficient respondent staffing to meet the RFP requirements;
- provide monthly payroll records showing the respondent staff fully dedicated to the contract;
- allow HHSC to conduct an on-site review of company headquarters or work site where services are to be performed and,
- provide documentation proving employment of qualified personnel holding the necessary licenses and certificates required to perform the Scope of Work.

4.8 Post-award HSP Requirements

The HSP shall be reviewed and evaluated prior to contract award and, if accepted, the finalized HSP will become part of the contract with the successful respondent(s).

After contract award, HHSC will coordinate a post-award meeting with the successful respondent to discuss HSP reporting requirements. The contractor must maintain business records documenting compliance with the HSP and must submit monthly subcontract reports to HHSC by completing the HUB HSP *Prime Contractor Progress Assessment Report*. This monthly report is required as a condition for payment to report to the agency the identity and the amount paid to all subcontractors.

As a condition of award, the Contractor is required to send notification to all selected subcontractors as identified in the accepted/approved HSP. In addition, a copy of the notification must be provided to the agency's Contract Manager and/or HUB Program Office within 10 days of the contract award.

During the term of the contract, if the parties in the contract amend the contract to include a change to the scope of work or add additional funding, HHSC will evaluate to determine the probability of additional subcontracting opportunities. When applicable, the Contractor must submit an HSP change request for HHSC review. The requirements for an HSP change request will be covered in the post-award meeting.

When making a change to an HSP, the Contractor will obtain prior written approval from HHSC before making any changes to the HSP. Proposed changes must comply with the HUB Program good faith effort requirements relating to the development and submission of a HSP.

If the Contractor decides to subcontract any part of the contract after the award, it must follow the good faith effort procedures outlined in Section 4.6 of this RFP (e.g., divide work into reasonable lots, notify at least three (3) vendors per subcontracted area, provide written justification of the selection process, and/or participate in the Mentor Protégé Program).

For this reason, HHSC encourages respondents to identify, as part of their HSP, multiple subcontractors who are able to perform the work in each area the respondent plans to subcontract. Selecting additional subcontractors may help the selected contractor make changes to its original HSP, when needed, and will allow HHSC to approve any necessary changes expeditiously.

Failure to meet the HSP and post-award requirements will constitute a breach of contract and will be subject to remedial actions. HHSC may also report noncompliance to the CPA in accordance with the provisions of the Vendor Performance and Debarment Program.

5. Proposal Evaluation

HHSC/DSHS will use a formal evaluation process to select the successful respondent(s). HHSC/DSHS will consider capabilities or advantages that are clearly described in the proposal, which may be confirmed by oral presentations, site visits, demonstrations, and references contacted by HHSC/DSHS. HHSC/DSHS reserves the right to contact individuals, entities, or organizations that have had dealings with the respondent or proposed staff, whether or not identified in the proposal.

HHSC/DSHS will more favorably evaluate proposals that offer no or few exceptions, reservations, or limitations to the terms and conditions of the RFP, including the awarding agency's DSHS Vendor General Provisions.

5.1 Evaluation Criteria

HHSC/DSHS will evaluate proposals based on the following best value criteria, listed in order of precedence:

Base:

Description	Section	Weight (=max points)
Best Fit to meet the requirements of Scope with minimum impact to the internal and external stakeholders.	2.2.1 2.2.2 Attachment A Attachment C	30
Technical Proposal as described in the RFP	2.2.1 2.2.2 2.2.4 2.2.5 Attachment B Attachment C Attachment D Attachment E Attachment F Attachment G	20
Approach to TxEVER implementation and customization as described in the RFP	2.2.6 2.2.7 2.2.8 2.2.9	15
Proposed cost for implementation, customization, and support of the system	3.9.3	15
Approach to TxEVER application support	2.3	15
Corporate background and experience	3.9.1.2	5
Total Maximum Score		**100**

Alternate 1: COTS + Imaging (Respondent should submit imaging solution as a separate attachment from the COTS proposal)

Description	Section	Pass / Fail
Best Fit to meet the requirements	Attachment N	

Alternate 2: COTS + Hosting (Respondent should submit hosting solution as a separate attachment from the COTS proposal)

Description	Section	Pass / Fail
Best Fit to meet the requirements	Attachment M	

Alternate 3: COTS +Imaginging Solution and Hosting Hosting (Respondent should submit COTS + Imaging and Hosting solution as a separate attachment from the COTS proposal)

Description	**Section**	**Pass / Fail**
Best Fit to meet the requirements	**Attachments A and N**	

HHSC/DSHS will perform an initial screening of all proposals received. Unsigned proposals and proposals that do not include all required forms and sections are subject to rejection without further evaluation.

In accordance with Section 3.3 Modification or Withdrawal of Proposal , HHSC/DSHS reserves the right to waive minor informalities in a proposal and award contracts that are in the best interest of the State of Texas.

5.2 Competitive Field Determinations

HHSC/DSHS may determine that certain proposals are within the field of competition for admission to discussions. The field of competition consists of the proposals that receive the highest or most satisfactory evaluations. HHSC/DSHS may, in the interest of administrative efficiency, place reasonable limits on the number of proposals admitted to the field of competition.

5.3 Oral Presentations and Site Visits

HHSC/DSHS may, at its sole discretion, request oral presentations, site visits, and/or demonstrations from one or more respondents admitted to the field of competition as specified in Section 1.3 Procurement Schedule. HHSC/DSHS will notify selected respondents of the time and location for these activities. The demonstration script that contains the agenda and discussion topics is in Attachment Q Vendor Demonstration Script. The individuals presenting must be key personnel and/or senior management. The purpose of these presentations is to allow the State to better understand the proposed solution / approach, as well as other aspects of the proposal. HHSC/DSHS reserves the right to ask additional questions during oral presentations, site visits, and or demonstrations to clarify the scope and content of the written proposal. HHSC/DSHS may consider information learned during oral presentations or site visits in selecting a Contractor. All dates are subject to change at HHSC's/DSHS' discretion.

The respondent's oral presentation, site visit, and/or demonstration must substantially represent material included in the written proposal, and should not introduce new concepts or offers unless specifically requested by HHSC/DSHS.

5.4 Best and Final Offers

HHSC/DSHS may, but is not required to, permit respondents to prepare one or more revised offers. For this reason, respondents are encouraged to treat their original proposals, and any revised offers requested by HHSC/DSHS, as best and final offers.

5.5 Discussions with Respondents

HHSC/DSHS may, but is not required to, conduct discussions with all, some, or none of the respondents admitted to the field of competition for the purpose of obtaining the best value for HHSC/DSHS. It may conduct discussions for the purpose of:

- obtaining clarification of proposal ambiguities;
- requesting modifications to a proposal; and/or
- obtaining a best and final offer.

HHSC/DSHS may make an award prior to the completion of discussions with all respondents admitted to the field of competition if HHSC/DSHS determines that the award represents best value to the State of Texas.

5.6 News Releases

Prior to final award, a vendor may not issue a press release or provide any information for public consumption regarding its participation in the procurement. Requests should be directed to the HHSC Point of Contact identified in Section 1.2.

This Section 3.4 does not preclude business communications necessary for a Respondent to develop a proposal or required reporting to shareholders or governmental authorities.

5.7 Incomplete Proposals

HHSC may reject without further consideration a proposal that does not include a complete, comprehensive, or total solution as requested by the RFP.

5.8 State Use of Ideas

HHSC/DSHS reserves the right to use any and all ideas presented in a proposal unless the respondent presents a valid legal case that such ideas are trade secret or confidential information, and identifies the information as such in its proposal referenced Section 3.7 Texas Public Information Act.

A respondent may not object to the use of ideas that are not the respondent's intellectual property and so designated in the proposal that:

1. Were known to HHSC/DSHS before the submission of the proposal;
2. Were in the public domain through no fault of HHSC/DSHS; or
3. Became properly known to HHSC/DSHS after proposal submission through other sources or through acceptance of the proposal.

5.9 Property of HHSC/DSHS

Except as otherwise provided in this RFP or the resulting contract, all products produced by a respondent, including without limitations the proposal, all plans, designs, software, and other contract deliverables, become the sole property of HHSC/DSHS.

5.10 Copyright Restriction

HHSC/DSHS will not consider any proposal that bears a copyright.

5.11 Additional Information

By submitting a proposal, the respondent grants HHSC/DSHS the right to obtain information from any lawful source regarding the respondent's and its directors', officers', and employees':

1. Past business history, practices, and conduct;
2. Ability to supply the goods and services; and
3. Ability to comply with contract requirements.

By submitting a proposal, a respondent generally releases from liability and waives all claims against any party providing HHSC/DSHS information about the respondent. HHSC/DSHS may take such information into consideration in evaluating proposals.

5.12 Attachments

Attachment	Description	Revision Date	
A	Business Processing Map	8/21/2015	Attachment A.pdf
B	Security Requirements	7/01/2015	Attachment B
C	Non-Functional Requirements	8/05/2015	Attachment C
D	External System Interfaces	7/16/2015	Attachment D
E	HL7 Interoperability	7/21/2015	Attachment E
F	Data Migration	6/26/2015	Attachment F
G	Statistical Reporting Database	7/3/2015	Attachment G
H	Core Vendor Contract General Provisions	4/6/2015	Attachment H.pdf
I	Cost Proposal Template	6/26/2015	Attachment I .xlsx
J	Data Use Agreement	4/1/2015	Attachment J .pdf
K	Security and Privacy Initial Inquiry (SPI) **SPI Instructions Form** CISO-001-INS	7/2015 5/2015	Attachment K.pdf SPI Directions.pdf
L	HUB Subcontracting Plan HUB Subcontracting Package with CMBL	10/2014	Attachment L .docx CMBL.PDF
M	Hosting Solution	7/17/2015	Attachment M
N	Imaging Solution	7/17/2015	Attachment N
O	Respondent Checklist	8/17/2015	Attachment O
P	Vendor Reference Questionnaire	8/19/2015	Attachment P
Q	Vendor Demonstration Script	9/08/2015	Attachment Q

(To access these documents, please click on the link provided)

Each requirement in the attachments contains the following elements:

- **Requirement Identifier** – A designator for each requirement. The Identification number is made up a business function identifier and a numerical value (e.g., SA-1 equals business function System Administration, requirement number 1).
- **Requirement Description –** Description of the capability needed by a user to solve a problem or to achieve an objective.
- **Priority -** To ensure that the highest value requirements are satisfied first, it is important to prioritize requirements. This also provides a mechanism for developers to prioritize their work to ensure that high priority work is completed, in case it becomes necessary to de-scope a system to meet budget, time or resource constraints. The importance of each requirement is designated as either "Must Have", "Should Have", or “Nice to Have” in this column.
    - – *Must Have* – Requirement must be met in order to achieve project objectives, meet essential business needs, and maximize full benefits of the system. The product is not acceptable unless these requirements are satisfied.
    - *Should Have* – Requirement that the system should have in order to meet core business needs. These requirements would enhance the use of the system and increase acceptance by users. Required but could wait until a later release if necessary.
    - *Nice to Have* – Requirement that would be nice to have but is not critical to the operation of the system or core business needs. Would be nice to have if budget and time permits.
- **Existing or New –** Differentiates requirements met by the current system (TER) from new requirements.
- **Comments –** Placeholder for adding comments.

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Attachment A – Business Process Mapping

VERSION 1.0 **REVISION DATE: 08/21/2015**

(Business Process Mapping can be uploaded with this link)

Attachment A -
Business Process Map

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Attachment B – Security Requirements

REVISION DATE: 07/01/2015

VERSION 1.0

1. Enterprise Security

Req ID	Requirement Description	Priority	Existing or New
ES-1	Contractor will cooperate with DSHS VSU, ISO, and IT Operations ensuring a 3rd party Vendor conducts a thorough vulnerability threat assessment and mitigation using Open Web Application Security Project (OWASP). The testing must include external facing web services.	Must Have	New
ES-2	Contractor will cooperate with the DSHS CISO and any entity the CISO appoints, while DSHS conducts Web Application Vulnerability Scanning and Infrastructure Scanning. The Contractor will address any issues discovered during the vulnerability and infrastructure scanning.	Must Have	New
ES-3	Contractor will carry out a detailed source code assessment using both automated source code scanning tools as well as manual source code review. Contractor will provide the results to DSHS of both the scanning tools as well as the manual review.	Must Have	New
ES-4	Contractor will provide test plans for white box and black box testing to DSHS for agency approval. Contractor will provide white box and black box security assessment test results to DSHS.	Must Have	New
ES-5	Following the change control process, the Contractor will incorporate any agreed upon code-level remediation recommendations resulting from code review into the system.	Must Have	New
ES-6	Contractor will cooperate with the DSHS selected IV&V 3rd party Vendor to address issues discovered during their vulnerability threat testing.	Must Have	New
ES-7	Contractor and DSHS will agree on the tools used for scanning and the tests to be run. The Contractor will scan the application for vulnerabilities. The Contractor will address any issues discovered during that scan.	Must Have	New

2. Application Security

Req ID	Requirement Description	Priority	Existing or New
AS-1	System shall implement authentication for the application by storing users and credentials within a secure, separate database from the primary database along with forms authentication during logon.	Must Have	New

Req ID	Requirement Description	Priority	Existing or New
AS-2	During login, users must pass a higher trust authentication process to access the new system. The higher trust authentication will be provided by a soft token tied to the user's browser. Contractor must demonstrate multiple levels of fail over to ensure this process is available 24x7x365.	Must Have	New
AS-3	System must prevent users from logging into the application from more than one machine at a time.	Must Have	New
AS-4	System will log user out of the system after a configurable number of minutes of inactivity.	Must Have	Existing
AS-5	System shall free up any connections to the system after the user logs out or is logged out by the system	Must Have	New
AS-6	System must be able to restrict location / machine that user is logging in from.	Must Have	New
AS-7	System must provide for a highly configurable, role-based, secure solution which enables administrator control over access rights per role and individual user down to the field data level and also over specific, defined actions.	Must Have	New
AS-8	System must control user's access by the profile that was assigned to the user by the local system administrator. The system must follow the principle of least privilege.	Must Have	New
AS-9	System must offer the opportunity for roles to have cross functional authorities. Specific super user roles will have the functionality that is normally duties segregated.	Must Have	New

AS-10	System must enforce the segregation of duties. users can only perform one of these operations:
	• Create a vital record
	• Certify a vital record
	• Issue a vital record
	• Sealed records:
	    o Who can search and view them
	    o Who can unseal and modify them
		Must Have	New

AS-11	System shall provide user authentication and authorization functionality to manage access to the system.	Must Have	Existing
AS-12	System shall deactivate user accounts after a configurable number of days since a user's last logon.	Must Have	Existing
AS-13	System shall prevent a user from accessing the application after a configurable number of failed attempts within a single day.	Must Have	Existing
AS-14	The system will flush cookies immediately after the user logs off or the system logs the user off.	Must Have	New
AS-15	The system must not use tracing cookies.	Must Have	New
AS-16	The system will limit the role of deleting vital records or voiding vital records to the State Registrar	Must Have	Existing

Req ID	Requirement Description	Priority	Existing or New
AS-17	The system will provide a role for voiding certificate paper.	Must Have	Existing
AS-18	The system will provide a role for voiding document control numbers.	Must Have	Existing
AS-19	The system will allow a document control number to be voided only after the certificate has been printed and/or issued.	Must Have	Existing
AS-20	The system will allow users to run only those reports they are authorized to run by their security role.	Must Have	New
AS-21	The system will provide a role for viewing images, audit logs, and change logs for Adoptions and Paternities.	Must Have	New
AS-22	Contractor must provide a plan for how their application patch process and security patch process works citing the frequency of that process.	Must Have	New
AS-23	The system must provide audit logs and alerts to DSHS staff to prevent fraud and detect misuse of the system.	Must Have	New
AS-24	Contractor must describe how their application will be isolated from the user's hardware. • No Print screens • No CD/DVD access • No USB access	Must Have	New
AS-25	The solution will not provide the ability to remote into these desktops unless explicitly permitted	Must Have	New
AS-26	The Contractor must define the standard user on the desk top.	Must Have	New
AS-27	The system must provide a report on segregation of duties violations.	Must Have	New
AS-28	The application must work with the DSHS supplied fire wall.	Must Have	New

3. Information Security

Req ID	Requirement Description	Priority	Existing or New
IS-1	The System must provide for service account password configurability. These passwords should expire given a DSHS provided time frame. The system should email designated DSHS staff of the approaching expiration date. These passwords must follow HHS standards. Please advise DSHS on any additional steps taken to store and protect passwords.	Must Have	New

Req ID	Requirement Description	Priority	Existing or New
IS-2	HHS/DSHS will be responsible for implementing/activating the RDBMS audit features in Oracle or SQL Server. The Contractor has to ensure that the system will run on a RDBMS running activated audit features.	Must Have	Existing
IS-3	System shall ensure that passwords stored in the database for database authentication will be encrypted.	Must Have	Existing
IS-4	System shall ensure that confidential data be encrypted on all backup media that contains database files.	Must Have	Existing
IS-5	System shall ensure that deleted confidential data will not linger in data blocks, o/s files, or sectors on disk.	Must Have	Existing
IS-6	Contractor shall comply with the encryption policies of DSHS.	Must Have	Existing
IS-7	System shall ensure that there will be no data at rest on the SFTP or FTPS server.	Nice to Have	Existing
IS-8	System shall ensure that inbound messages be handled so as to prevent data loss.	Must Have	Existing
IS-9	For data in motion and at rest, the system must: • Use Transport Layer Security (TLS) encryption or equivalent • Use AES 2 compliant encryption • For the exchange of data within the System must use secure hypertext transport protocol or https	Must Have	New
IS-10	The mail commands with the application must use HTTPS and be encrypted.	Must Have	New
IS-11	The system must provide for a secure method of printing certified copies: • Printing only from recognized desk tops • 2nd level of approval for any issuance of certified copies	Must Have	New
IS-12	The system should provide for the following: • Use of MAC address • Use of certificates • Secure the application to web browser • Non-repudiation of the identity of the user	Must Have	New

Req ID	Requirement Description	Priority	Existing or New
IS-13	Contractor will perform application, OS, and DB maintenance including but not limited to any security or upgrade patches required. Implementation and testing must be performed on the lower environments first and approved by DSHS IT Operations. Contractor must provide a description of how they conduct threat management.	Must Have	New
IS-14	Contractor will provide a log management solution covering but not limited to save, view, and archive functions.	Must Have	New
IS-15	Contractor will record security data discovery and classification record in metadata repository.	Must Have	New
IS-16	Contractor will maintain data and database access security in accordance with user privileges as specified through the DSHS.	Must Have	New
IS-17	Contractor will encrypt data backups and archived data.	Must Have	New
IS-18	Contractor will evaluate de-identification assurances of the masked data.	Must Have	New

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Attachment C - Non-Functional Requirements

VERSION 1.0 ***REVISION DATE: 08/05/2015***

1. System Administration

Req ID	Requirement Description	Priority	Existing or New
SA-1	The system must allow users with the correct security role to manage lookup lists.	Must Have	Existing
SA-2	The system must allow users with the correct security role to manage user security roles.	Must Have	Existing
SA-3	The system must allow users with the correct security role to manage users.	Must Have	Existing
SA-4	The system must allow users with the correct security role to manage the assignment of security roles to users.	Must Have	Existing
SA-5	The system must allow users with the correct security role to reset user passwords.	Must Have	Existing
SA-6	The system must allow users with the correct security role to reactivate inactive users.	Must Have	Existing
SA-7	The system should allow authorized users to configure the home page broadcast notification.	Should Have	Existing
SA-8	The system should have the ability to send mass emails to all or specific registered users.	Nice to Have	New
SA-9	The system will provide an interface to email. Email addresses will be displayed in the system as links – clicking on an email address will initiate an email to that contact. If possible, the system will also provide an interface to text messaging on mobile devices.	Nice to Have	New
SA-10	The system must version control all records.	Must Have	Existing
SA-11	The system will be able to support multiple data formats (current version as well as future versions) for all records to account for present and future changes in format.	Must Have	New
SA-12	Database records must reflect all elements of the record collected past, present, and future.	Must Have	New
SA-13	The system will be able to transition from any current standard certificate to a new standard certificate in a seamless manner based on the date of the case. This includes changes to data elements and formatting of screens and printed documents.	Must Have	New
SA-14	System provides a smooth transition into new specifications. For example, if a new field is initiated on the first day of the year and is only to be used for cases occurring in that year or subsequent years, then the system distinguishes which fields to include when it dynamically generates a form.	Must Have	New

Req ID	Requirement Description	Priority	Existing or New
SA-15	The system will provide an extensible data model configurable by the State staff to add new fields to the database to accommodate new laws and procedural changes.	Must Have	New
SA-16	Access to records is controlled by a system of record ownership. External stakeholders may not access records they do not own.	Must Have	New
SA-17	The State staff can change ownership of any record.	Must Have	Existing
SA-18	Different sections of a certificate may have different owners, but there can be only one owner of each section at a time.	Must Have	Existing
SA-19	The funeral home may access the demographic section of a record simultaneously as the medical certifier is accessing the medical section of the record. The section not corresponding to a given user is locked.	Must Have	Existing
SA-20	Once records are submitted to the State for registration the records are locked from further editing by external stakeholders.	Must Have	Existing
SA-21	The State may return a record back to a stakeholder for correction. In this case the record is unlocked for further editing.	Must Have	Existing
SA-22	System makes it easy for a user to reset their PIN.	Must Have	Existing
SA-23	The system must allow users with the correct security role to void or deleted records.	Must Have	Existing
SA-24	The system must allow users with the correct security role to reinstate void or deleted records.	Must Have	New
SA-25	Only the State Registrar may view, void or delete abandoned records.	Must Have	Existing
SA-26	The system provides a method to flag a record after a configurable duration of inactivity. The duration can be configured differently for each vital event.	Must Have	Existing
SA-27	The system must allow users with the correct security role to mark records for deletion.	Must Have	Existing
SA-28	The system must allow users with the correct security role to mark records for being voided.	Must Have	Existing
SA-29	The home page must be customizable by State staff	Must Have	Existing
SA-30	The system must allow users with the correct security role to view and print images **with** a water mark of "Not Original Copy".	Must Have	Existing
SA-31	The system must allow users with the correct security role to view and print images **without** a water mark of "Not Original Copy".	Must Have	Existing
SA-32	The system must allow users with the correct security role to see all the stakeholders involved in registering a specific record and their contact information.	Nice to Have	New

Req ID	Requirement Description	Priority	Existing or New
SA-33	Before saving a record, the system must check for an existing record and not allow the user to save a duplicate record.	Must Have	New
SA-34	The system will provide the State staff the ability to create, configure, and manage workflow queues, using business rules to direct the flow of registration and issuance work assignments.	Must Have	New
SA-35	The system will maintain multiple processing queues, each with its own purpose / function.	Must Have	Existing
SA-36	The system will be capable of tracking the amount of time required for processing steps (to be determined) to facilitate timing studies to determine if the work flow should be modified to improve efficiencies.	Must Have	New
SA-37	The system should provide for a way to manage personnel lists for the allocation of tasks	Must Have	Existing
SA-38	The system must provide the ability for a system administrator to configure event based notifications that establish notification content, event rules and recipient(s).	Must Have	New
SA-39	Informational messages will be able to have an expiration date, and are not displayed to users after the expiration date.	Nice to Have	New
SA-40	System allows a user to create a profile of their preferred method of communication (email, text message…) and be able to redirect a specific message to a communication method other than the recipient's preferred method by selecting from an options list.	Nice to Have	New
SA-41	When a request or new record is inactive for a State-specified amount of time, prior to the first save, the system will delete it.	Must Have	New
SA-42	System will timestamp specific events so that elapsed time between specific certificate events can be tracked (e.g. “ready to be certified” –> “Certified”).	Must Have	New
SA-43	Flags are table-driven and configurable by State staff.	Must Have	New
SA-44	Flags can be set or removed by the system based on a trigger.	Must Have	New
SA-45	The system will provide a way to link all correspondence associated with a request to that request.	Must Have	New

Req ID	Requirement Description	Priority	Existing or New
SA-46	The system provides a batch entry program for linking bank note paper barcodes to documents printed from a request. In batch mode: • The user can scan the barcodes for linking without having the request screen open. • The user scans both the document barcode printed by the system and the preprinted security paper barcode to link the inventory number on the bank note paper to the corresponding document in the system. • System provides a visual verification that the correct record in document history has been updated	Must Have	New
SA-47	The system provides a way to create child records for a death record and link the deceased also known as names (AKA).	Must Have	New
SA-48	System provides an authorized user the ability to search records irrespective of event type. For example, OIG, CHS, and Adoption Registry have a need to be able to “search all” – search for a person, their parents, and any siblings. Search for person’s marriages and divorces, etc.	Nice to Have	New
SA-49	The system will maintain and be able to configure and automatically assign Local File Numbers for birth, death, and fetal death.	Must Have	New
SA-50	The system will maintain and be able to configure and automatically assign State File Numbers for birth, death, fetal death, acknowledgement of paternity, delayed records, foreign adoptions, adoption pending file, marriage applications, suits, paternity registry, adoption registry, and corrections for demographic amendments	Must Have	New
SA-51	The system will allow the Local Registrar to obtain a single local file number or sequence of numbers for numbering manual certificates. These are referred to as “bump numbers”. The user will enter a count of numbers that are needed for the given category (Birth/Death/Fetal Death) of records, and the system will increment the next available automatic number by the count. The system will also allow the user to log bump numbers including information about the certificate that was numbered.	Must Have	New
SA-52	The system provides the ability to search by the primary name and find the aliases (AKAs) associated with the name.	Must Have	New
SA-53	The system provides the ability to search by the alias (AKA) name and find the primary name as well as all the other aliases (AKAs).	Must Have	New

Req ID	Requirement Description	Priority	Existing or New
SA-54	The system will be able to read a bar code and retrieve the data record and any images associated with that data record. This includes vital records and requests for copies of vital records.	Should Have	New
SA-55	The system prints "deceased" on a birth certificate of an individual who is deceased.	Must Have	Existing
SA-56	The system must allow participants creating a record the ability to print an abstract of the data they have entered into the system. The printed abstract shall not resemble the original certificate or certified copies. An abstract will be watermarked to clearly indicate that it is not a legal copy of the record.	Must Have	Existing
SA-57	System can automatically direct different types of outputs to different printers from the same workstation	Must Have	Existing
SA-58	Printing of multiple types of special forms can be directed to the same printer by using different trays.	Must Have	New
SA-59	When a customer request transaction is complete, all documents printing on the same printer print together without being interspersed with documents from other users.	Must Have	New
SA-60	When practical, documents to be mailed are formatted to allow folding to display in a window envelope.	Must Have	Existing
SA-61	For certain request types, the system will be capable of printing the documents, optionally printing corresponding envelopes, and stuffing envelopes (either printed envelopes or window envelopes).	Nice to Have	New
SA-62	The system will print bar codes on certified copies and any correspondence being sent out. The bar code will include the order number, document control number, request number, and the State File Number.	Must Have	New
SA-63	The system provides a way for State users to make changes to custom letters, forms, and reports.	Must Have	New
SA-64	Envelopes and labels can be generated with customer addresses and barcodes for sending documents to customers.	Should Have	New
SA-65	The system will provide for an authorized user the ability to search sealed file information.	Must Have	New
SA-66	The system will suspend an order and not fulfill it until the payment is cleared (check or credit card)	Must Have	New
SA-67	Depending on order type, the system provides options to email, mail, and/or fax a response back to the customer.	Must Have	New
SA-68	The system will be able to detect and prevent duplicate orders from being entered.	Must Have	New
SA-69	Suspended or closed orders can be re-opened by an authorized State user	Must Have	New
SA-70	The system will link subsequent payments to the order and provide a payment history to the State user.	Must Have	New

Req ID	Requirement Description	Priority	Existing or New
SA-71	The system provides different types of flags for vital records and each record can have more than one flag assigned to it.	Must Have	Existing
SA-72	The system will provide different shipping labels for the same documents given directions from the State user.	Must Have	New
SA-73	The system will provide for different shipping addresses for the same order.	Must Have	New
SA-74	System will auto-populate contact information for county and district clerks in customer letters based on the count of divorce or marriage application on record if available.	Nice to Have	New
SA-75	The system will be able to print a research ticket for a request in cases where a record cannot be located in the system.	Should Have	New
SA-76	Once the payment is processed by the Comptroller, after the system imports the fiscal information, it will automatically match/credit the order with the payment remittance data. The status of the request issue will be updated to indicate an additional payment has been made.	Should Have	New
SA-77	The system will allow for authorized Issuance Specialists to search death records in Local Registrars' Report of Death Queues to see if a record has been started.	Must Have	Existing
SA-78	For a customer request that results in no record found, the system generates a letter, marks the request to trigger a search every two weeks, and closes the request after two months of searching. Durations are configurable by State staff.	Should Have	New
SA-79	The system will be able to link scanned supporting documentation for a request to the request.	Must Have	New
SA-80	As requests are received, the system can send emails informing the customer that their request has been received, the approximate processing time, and where to check the order status online.	Must Have	New
SA-81	The system can import orders from a batch file and create new orders in the system.	Must Have	Existing
SA-82	After invoicing, the system flags transaction records included in the invoice as "invoiced" and updated with the invoice number and invoice date.	Must Have	New
SA-83	The system allows a user to designate or import receipt of funds for an account.	Must Have	New
SA-84	As State users mark order transactions as paid, the user will also enter the time and date paid. The system will log the remittance number in the order.	Must Have	New
SA-85	The system provides a check list of templates for custom letters. The system provides a way for State staff to manage the list. The list is table driven.	Must Have	New

Req ID	Requirement Description	Priority	Existing or New
SA-86	The system can print, email, or fax correspondence to stakeholders.	Must Have	New
SA-87	For faxes, the system will generate the fax cover sheet.	Nice to Have	New
SA-88	The system provides a table for maintaining fees charged to stakeholders. The State staff maintains the fees in that table.	Must Have	New
SA-89	The fee table will include business rules that cover topics such as but not limited to: • Surcharge base on payment type • Prices for sub components to the order • Pricing for first copy and additional copies can be different	Must Have	New
SA-90	The system will lock a record that is being amended, or updated for adoptions or paternities.	Must Have	Existing
SA-91	The system will both validate the address and geocode it. The system will be able to map the address to a local registrar's jurisdiction.	Must Have	New
SA-92	The system provides a way for the State user to configure which fields can be amended for a birth, death or fetal death record.	Must Have	New
SA-93	The system will prevent users from amending a delayed record.	Must Have	New
SA-94	The system restricts viewing images, audit logs, and change logs for Adoptions and Paternities to authorized users. The sealed portion of the record is restricted as well.	Must Have	Existing
SA-95	The system will provide a utility to correct data that cannot be corrected through the application. Access to this utility will be restricted to staff with the appropriate permissions. All activity conducted in the utility will be logged with who made the change, what was changed, date and time the change was made. Original contents of the record will be archived following record retention rules.	Must Have	New

2. User Experience

Req ID	Requirement Description	Priority	Existing or New
UE-1	Fields not currently in 'add' or 'edit' mode should be displayed in a read-only format (e.g., label format).	Nice to Have	New
UE-2	System should allow users to sort lists by column heading.	Should Have	New

Req ID	Requirement Description	Priority	Existing or New
UE-3	The system should have the capability to display configurable broadcast messages on the application home page.	Should Have	Existing
UE-4	The system should support visual cues to indicate mandatory input fields.	Should Have	Existing
UE-5	The system must provide a way to cancel a data entry/update workflow.	Must Have	Existing
UE-6	The system should provide online help that can be accessed from all screens and access to FAQ and other documentation. Help information should be searchable and be context-sensitive when accessed from the system. Help content includes navigation instructions, screen-sensitive conceptual overviews, and step-by- step instructions for entering and managing data.	Should Have	Existing
UE-7	The system must support exclusivity when performing record updates.	Must Have	Existing
UE-8	The system will provide an online directory visible to all users with contact information for all system users.	Must Have	New
UE-9	A link with contact information for record participants will be available while entering a record. For death and fetal death, this includes the Funeral Director, medical certifier, and Local Registrar. For birth, this includes the midwife, institution, or birthing center and the Local Registrar.	Must Have	New
UE-10	Once the Certifier type (Physician, JP, or ME) is selected, the system will provide a list of certifiers/facilities of that type.	Must Have	New
UE-11	Stakeholders must be able to order death certificates via credit card payments while completing the death registration process. This must be seamless to the user.	Must Have	Existing
UE-12	The system provides configurable review screens so that: • The entire record may be viewed at once • The record may be reviewed in logical sections • If reviewing in sections, each section will display the Reject button. • Only the last screen of the record will display both the Accept and Reject buttons. • The reviewer will be able to click to go back and forth through the sections, but they are forced to review each section until the entire record has been reviewed.	Nice to Have	New

Req ID	Requirement Description	Priority	Existing or New
UE-13	While the medical data entry clerk is completing the medical information section of the death record, once it is ready to be certified, the system provides a "quick login" to permit a medical certifier to logon for the express purpose of certification. Once the record has been certified, the system automatically logs out the medical certifier and returns the original user to the prior screen.	Should Have	New
UE-14	In a medical facility, Doctors have an option to view only records assigned to them (rather than having to view all records assigned to the facility).	Should Have	New
UE-15	For certifying death records, the State user and certifier will have the ability to view the legal fields and the statistical fields side by side.	Must Have	New
UE-16	For amendments, the user can view the original record and the amendment side-by-side. The amendment is initially pre-populated with existing data. As changes are made, they will be highlighted.	Must Have	New
UE-17	Stakeholders will be able to initiate a help desk ticket from within an in-process record in the system.	Must Have	New
UE-18	If all required fields are not complete, the user will be issued a message with a list of unresolved fields – the user can click on a field in the list to jump to the field and populate it.	Must Have	Existing
UE-19	If there is an error in a field due to a cross-field edit the fields are displayed together so the user can see where the edit was derived.	Must Have	New
UE-20	When a field has a relationship to another data field, the system highlights the fact that the related data must be completed.	Must Have	New
UE-21	The system will provide suggestions based on what's entered for vague causes of death and underlying causes of death, prompting the user for more specific information, with things like " did you mean…?"	Must Have	New
UE-22	If the certifier enters an abbreviation in a cause of death field, the system issues a message with the fully written out cause and allows the medical certifier to select the terminology suggested in the message to clarify the abbreviation or enter a new cause	Must Have	New
UE-23	Include links to references for medical certifiers of death records: NCHS VIEWS web service http://www.cdc.gov/nchs/nvss/writing_cod_statements.htm http://www.cdc.gov/nchs/nvss/mmds/super_micar.htm ftp://ftp.cdc.gov/pub/Health_Statistics/NCHS/software/mmds/2009/spell http://www.cdc.gov/nchs/data/dvs/supermicar_dict_terms.xlsx	Nice to Have	New

Req ID	Requirement Description	Priority	Existing or New
UE-24	The system insures accuracy by requiring the user to double data enter specific critical fields, such as by not limited to: birth date, death date, SSN, names	Must Have	New
UE-25	The system will display and default to the most recent version of the record. Authorized users will have the capability to view previous versions of a record.	Must Have	Existing
UE-26	The system makes it easy for an authorized user to understand what has changed from one version of the record to the next.	Must Have	New
UE-27	If a stakeholder is assigned to multiple locations in the system, the user will be able to view records in all of the locations they're assigned to.	Must Have	New
UE-28	The system provides the ability to display records with no activity for a State-specified period of time.	Nice to Have	New
UE-29	The system provides a process by which the State Registrar can review and easily void or delete abandoned records either individually or as a batch.	Must Have	New
UE-30	System allows for single-parent adoptions. For single parent adoptions, all fields are left blank (name, date of birth, and place of birth) for the parent that will not be listed on the record	Must Have	Existing
UE-31	The method of marking records for deletion will be consistent across all modules.	Nice to Have	New
UE-32	System has a standard look and feel across modules and screens have a common structure that includes fonts and colors, headings, frames, status lines, and error messages.	Nice to Have	New
UE-33	Fields on an electronic record will be in the same order as the paper certificate except where changing the order of fields provides an advantage.	Must Have	New
UE-34	System supports type-ahead for locating an item in a pick list.	Must Have	New
UE-35	Popup windows are not used to convey messages.	Nice to Have	New
UE-36	System provides a quick way to save an incomplete record without having to display all error messages associated with the record.	Nice to Have	New
UE-37	Within the accessibility guidelines, the system will make use of colors to highlight fields and list items requiring the user's attention.	Nice to Have	New
UE-38	The system allows users to customize their views of data.	Nice to Have	New
UE-39	The system allows users to configure their presentation preferences and default views.	Nice to Have	New
UE-40	System allows a user to open a new window and perform a search while processing a transaction without disturbing that transaction.	Nice to Have	New
UE-41	Issuance Specialists should be able to view a request and search for record simultaneously.	Nice to Have	New

Req ID	Requirement Description	Priority	Existing or New
UE-42	Required Fields should be clearly indicated and may be different for different users	Must Have	Existing
UE-43	The system will indicate required, completed, pre-populated, disabled, and read-only fields.	Must Have	New
UE-44	The medical information fields are dynamic based on the cause of death.	Must Have	New
UE-45	The order in which entries in a pre-defined list appear can be customized so that frequently used entries are at the top even if that is not the normal order alphabetically or numerically.	Nice to Have	New
UE-46	The system provides the ability to facilitate smart key entry of reference lists (for example, "NY=New York; CA=California") as specified in the NCHS/NAPHSIS ES.	Nice to Have	New
UE-47	All error messages are reported at the same time and in a common location on the screen.	Must Have	New
UE-48	Error messages generated by the system are clear and provide information that is of real assistance to the user in correcting the error, in non-technical language.	Must Have	New
UE-49	For errors, the system highlights the fact that hard edits exist in the record.	Nice to Have	New
UE-50	Controlled selections can be implemented where appropriate. For example, use radio buttons instead of drop downs for yes/no questions. The Application Administrator can designate the type of control for a specific field (e.g. free text, pick list).	Must Have	New
UE-51	Where appropriate, pick lists are filtered to display only items that make sense to the case based on data previously entered (i.e. context-sensitive drop down.	Must Have	New
UE-52	Controlled selections are used to make selections for standardized sets of values (e.g. cities, towns within a county).	Must Have	New
UE-53	Menus are configurable by the Configuration Manager. Menus are dynamic with different sets of features based on the individual's role and authority to perform functions. (For example, the funeral establishment clerk does not have an option to sign the personal information.)	Nice to Have	New
UE-54	Menu options are dynamic based on the status of a record. (For example, the option "submit to registrar" which appears on the funeral director's menu is not activated until all the information has been completed by all the users.)	Must Have	New
UE-55	Selected functions in the system (for example, abandonment of a case, relinquishing a case, voiding a case, or certifying a case) require positive confirmation from the user prior to the system performing the function. This capability is configurable by the Application Administrator.	Must Have	New

Req ID	Requirement Description	Priority	Existing or New
UE-56	The system should provide stakeholders a visible representation for each in-process record indicating the time remaining before the filing deadline.	Must Have	New
UE-57	The system will provide a management dashboard for State Supervisors so they can track statistics about the number of records in each queue and lengths of time records have been in the queues to monitor workload (for registration and issuance)	Must Have	New
UE-58	From the management dashboard, State Supervisors will be able to see the processor and team that currently own the issue without having to open the request.	Must Have	New
UE-59	The system will provide enhanced queue listings. The listing of records will include a status field. Records requiring attention will be highlighted.	Must Have	New
UE-60	The system will have a visible alert which notifies users that an important communication has been sent to them. The alert will appear in the same place on all screens in the system.	Nice to Have	New
UE-61	Upon logging in, the system should display a message with the record counts for each of the activity queues assigned to that user. Clicking on the message will take the user to the selected queue.	Nice to Have	New
UE-62	Flags can be added, removed, and modified by authorized users.	Must Have	New
UE-63	A description of the procedure that the employee follows for specific flags is stored in the system and is available to the user if the alert is displayed. When the alert is displayed an authorized user may also view who flagged the record and why	Must Have	New
UE-64	In “Do Not Issue” messages, the name of the Specialist that currently owns the record will be displayed for records flagged for in-process Adoptions, Paternities, and Amendments.	Must Have	New
UE-65	The system provides multiple ways to search for a record. Search parameters can include any name on the certificate. The parameters can include the status of the record. Date ranges can be restricted on any date field. Allow for multiple data combinations as search parameters.	Must Have	New
UE-66	Special characters and case is disregarded when performing the search.	Must Have	New
UE-67	Deleted and voided records are not included in a search by default. The system will provide an option for searching deleted and voided records.	Must Have	New
UE-68	The system allows the user to cancel a search.	Must Have	New

Req ID	Requirement Description	Priority	Existing or New
UE-69	Searches will halt and issue a warning if the results set reaches1000 records. (The limit is configurable by State staff.)	Must Have	New
UE-70	Once a search is complete and the results are displayed, the system provides the user with an option to search again. The system returns the previous parameters upon completing a search.	Must Have	New
UE-71	The user will be able to open a record or select a group of records in a result set, then click to open the next or previous record in the results set or group.	Must Have	Existing
UE-72	The system will pre-populate fields on letters or forms from the appropriate fields in the database. The State user can override that information.	Must Have	New
UE-73	System allows the Specialist to change the transaction type in a request. When a request type is reset, the system will enable and disable appropriate fields for the new request type.	Must Have	New
UE-74	The Remote Issuance module calculates a search-to-print ratio for remote sites and for each user at a remote site.	Must Have	Existing
UE-75	Site Supervisors in the Remote Issuance module can view / print a report for the current search-to-print ratio for the site.	Nice to Have	New
UE-76	The system will indicate when scanned documents are linked to the request	Must Have	New
UE-77	The Issuance Specialist will be able to set the status of an order to indicate ongoing processing.	Must Have	New
UE-78	Stakeholders will be able to generate and pay for Demographic Amendment orders from within the system.	Nice to Have	New
UE-79	If the record is located and there is a minor discrepancy between the record in the system and the information on the image/ original paper certificate (such as a data-entry error), an authorized user can update the record to match the data on the original certificate.	Must Have	Existing
UE-80	The system will suspend an order where the payment is not sufficient to cover the cost of the order.	Must Have	New
UE-81	An authorized user may override or waive a charge for a transaction that normally has a fee. If a fee is waived, the user is required to enter an explanation as to why the fee was waived.	Must Have	New
UE-82	An authorized user will be able to set priorities on issues queued for QA.	Should Have	New
UE-83	State users can see the status of their records in QA. The status indicator will provide an ETA on when the record will be reviewed.	Should Have	New
UE-84	For amendments, the system provides a view of the vital event record with all of its original fields.	Must Have	New

Req ID	Requirement Description	Priority	Existing or New
UE-85	For amendments, if the user amends an address field, the system will auto-populate any changes to other address fields. An example is an update to a city will cause the system to update the county.	Should Have	New

3. Report Functionality

Req ID	Requirement Description	Priority	Existing or New
RF-1	The system proves a user-friendly drag-and-drop user interface for creating ad hoc reports.	Must Have	New
RF-2	The system must display the results of ad hoc queries in a table format.	Must Have	New
RF-3	The system must provide the capability to display a report.	Must Have	Existing
RF-4	The system must provide the capability to print a report.	Must Have	Existing
RF-5	The system should provide the capability to save a report in multiple formats such as MS Word, Adobe PDF format, or a data delimited file.	Should Have	New
RF-6	The system should have the ability to run a variety of reports and queries at both pre-set scheduled times against predetermined criteria and at an ad-hoc on-demand and possibly unique request.	Should Have	New
RF-7	The system will create reports that use standardized header, footer, pagination, graphics and, where appropriate, standard layout. The format and layout may be modified by State staff	Must Have	New
RF-8	Documentation must be provided that describes each of the standard reports supported by the system	Must Have	New
RF-9	The system will provide the capability to customize existing reports and save that customization	Must Have	New
RF-10	The system will provide the capability to design and run reports on the audit log. Reports can be run for but are not limited to: • Events for a specific time period. • Events related to a specific record • Activities of a user or group of users • Requests on a particular case • Requests made by a particular requestor or group of requestors • Requests processed by a specific user or group of users • Certificates produced for a particular record	Must Have	New

Req ID	Requirement Description	Priority	Existing or New
RF-11	The system provides a way for the user to add reports to report menus	Must Have	New
RF-12	The system will only return records to a user that they have the authority to view.	Must Have	New
RF-13	Reports can be parameterized so that parameter screens allow users to select and filter records.	Must Have	New
RF-14	The ad-hoc report writer will provide functionality for simple match such as a column totals and counts. Data can be grouped in order to calculate subtotals and totals.	Must Have	New
RF-15	Each report is routed to a default printer based on the combination of user profile and the report. A default printer can be overridden by another authorized printer.	Must Have	Existing
RF-16	System will provide for reports to facilitate reconciliation between the State system and local systems.	Must Have	New
RF-17	System will provide for reports to facilitate reconciliation between the State system and the Hospital system for evidence of a birth supporting the birth certificate	Must Have	New

4. Desktop Browser Compatibility

Req ID	Requirement Description	Priority	Existing or New
DBC-1	The system must be capable of displaying web pages in Microsoft Internet Explorer Web Browser versions N-1 or greater.	Must Have	New
DBC-2	The system should be capable of displaying web pages in Mozilla Firefox Web Browser N-1 or greater.	Nice to Have	New
DBC-3	The system should be capable of displaying web pages in Google Chrome Web Browser version N-1 or greater.	Nice to Have	New
DBC-4	The system should be capable of displaying web pages in Safari Web Browser version N-1 or greater.	Nice to Have	New

5. Tablet Browser Compatibility

Req ID	Requirement Description	Priority	Existing or New
TBC-1	The system should be capable of displaying web pages in Safari N-1 or greater.	Should Have	New
TBC-2	The system should be capable of displaying web pages in Android Browser N-1 or greater.	Nice to Have	New

Req ID	Requirement Description	Priority	Existing or New
TBC-3	The system should be capable of displaying web pages in Opera Mini N-1 or greater.	Nice to Have	New
TBC-4	The system should be capable of displaying web pages in Google Chrome N-1 or greater.	Nice to Have	New
TBC-5	The system will also support the use of signature pads for capturing digital signatures.	Must Have	New
TBC-6	The system will support credit card payment from hand-held devices for birth registrants (for ordering birth certificates at the time of registration).	Nice to Have	New

6. Auditing

Req ID	Requirement Description	Priority	Existing or New
AUD-1	The system must store the date, time, action type, user identification, and IP address (optional) whenever electronic information is created, modified, accessed, or deleted.	Must Have	New
AUD-2	The system will record the participant who created a note as well as the date and time the note was created.	Must Have	New
AUD-3	Document control numbers a mail tracking number will be logged in the order as the order is fulfilled.	Must Have	New
AUD-4	The Audit Log will be updated when certificate orders are placed, fulfilled, paid, and shipped.	Must Have	New
AUD-5	The system will log all correspondence to and from stakeholders. The system will track what was sent, when it was sent, elapsed time since correspondence was sent, and when replies are received.	Nice to Have	New
AUD-6	The Audit Log will be updated when a stakeholder initiates a help desk ticket.	Must Have	New
AUD-7	The Audit Log will be updated whenever a business rule is created, modified, or deactivated.	Must Have	New
AUD-8	The Audit Log is updated when any vital record is amended. The log will reflect who made the amendment, when it was amended, and why	Must Have	New
AUD-9	The Audit Log will be updated with the assignment of ownership of death records. All changes of those assignments will be logged too.	Must Have	New
AUD-10	An audit log will be provided to collect notification history for a certificate, including the date/time notifications were sent, content, and the event or user that initiated the notification.	Must Have	New

Req ID	Requirement Description	Priority	Existing or New
AUD-11	The system provides the ability to seal records. When a record is sealed, data is also sealed in the record's audit / change log.	Must Have	New
AUD-12	The system will provide a log of all significant events in vital records processing. The determination of which events are deemed significant is State-defined. The system will: • Identify who creates and modifies records, when, from where, and what was changed. • Identify who issues records and from where. • Tracks the use of each record, recording information about the individuals who access the record and for what purpose.	Must Have	New
AUD-13	Bank note paper received by VSU will be logged in a security log database.	Must Have	New
AUD-14	VSU and Local Registrars will order bank note paper from a single vendor. VSU will maintain a security log of document control numbers issued to Local Registrars by the vendor.	Must Have	New
AUD-15	Document control numbers of bank note paper distributed to teams within VSU (for example the secure print room and the lobby) will be logged in the security log.	Must Have	New
AUD-16	As certificates are printed, the document control numbers will be scanned and automatically logged on the security log and in the transaction lines of the request issue.	Must Have	New
AUD-17	During batch printing of certificates, the system automatically assigns the security paper number and stores the number assigned in the security log.	Must Have	New
AUD-18	The audit log is updated when an authorized user voids a document control number (DCN) with who, when, and why.	Must Have	New
AUD-19	The system maintains an audit log of all documents printed.	Must Have	New
AUD-20	The audit log will be updated with the BUMP number so that users can maintain when the BUMP number was used, who used it, and what number was used.	Must Have	New
AUD-21	For each search, the system will log the user ID, the order number (if applicable), and the name searched.	Must Have	New
AUD-22	If the record is located and there is a minor discrepancy between the record in the system and the information on the image/ original paper certificate (such as a data-entry error), an authorized user can update the record to match the data on the original certificate. The audit log is updated with who made the change, when, and why.	Must Have	New

Req ID	Requirement Description	Priority	Existing or New
AUD-23	The system will log changes to lookup lists, the user that made the change, when, and why.	Must Have	New
AUD-24	The system will log changes to user security roles, the user that made the change, when, and why.	Must Have	New
AUD-25	The system will log the event of resetting a user password. The system will log the user who made the change, when, and why.	Must Have	New
AUD-26	The system will log the event of activating an inactive user account. The system will log the user who made the change, when, and why.	Must Have	New
AUD-27	The system will log the event of configuration changes to the home page broadcast notification. The system will log the user who made the change, when, and why.	Must Have	New
AUD-28	The system will log the event of a State user making changes to the data model. The system will log the user who made the change, when, and why.	Must Have	New
AUD-29	The system will log the event of a State user voiding or deleting a vital event record. The system will log the user who made the change, when, and why.	Must Have	New
AUD-30	The system will log the event of a State user reinstating a voided or deleted vital event record. The system will log the user who made the change, when, and why.	Must Have	New
AUD-31	The system will log the event of a user marking records to be voided or deleted. The system will log the user who made the change, when, and why.	Must Have	New
AUD-32	The system will log the event of a work flow change. The system will log the user who made the change, when, and why.	Must Have	New
AUD-33	The system will log changes to event based notifications. The system will log the user who made the change, when, and why.	Must Have	New
AUD-34	The system will log changes to the configuration of flags. The system will log the user who made the change, when, and why.	Must Have	New
AUD-35	The system will log changes to the configuration of Local File Numbers. The system will log the user who made the change, when, and why.	Must Have	New
AUD-36	The system will log changes to the configuration of State File Numbers. The system will log the user who made the change, when, and why.	Must Have	New
AUD-37	The system will log the event of changes to custom letters, forms, or reports. The system will log the user who made the change, when, and why.	Must Have	New
AUD-38	The system will log the event of reopening a closed or suspended order. The system will log the user who made the change, when, and why.	Must Have	New

Req ID	Requirement Description	Priority	Existing or New
AUD-39	The system will log any changes made to fees in the fee table, including adding fees and deleting fees. The system will log the user who made the change, when, and why.	Must Have	New
AUD-40	The system will log any changes to the configuration of which fields can be amended. The system will log the user who made the change, when, and why.	Must Have	New

7. Exception Handling

Req ID	Requirement Description	Priority	Existing or New
EX-1	System must prevent changes to the database when a user attempts to submit invalid data or data that violates business rules.	Must Have	Existing
EX-2	System must rollback any incomplete database transactions.	Must Have	Existing
EX-3	Users should be presented with detailed messages explaining data validation and business rule exceptions.	Should Have	Existing
EX-4	Users should be presented with a user-friendly message when an unhandled exception occurs.	Should Have	Existing

8. Logging

Req ID	Requirement Description	Priority	Existing or New
LOG-1	System must log unhandled exceptions to a flat file.	Must Have	Existing
LOG-2	System should log external system flat files that cannot be imported.	Should Have	Existing
LOG-3	System should log applicable start up and shut down events.	Should Have	Existing
LOG-4	System should log unhandled database exceptions that occur within a stored procedure or function to a table.	Should Have	New
LOG-5	The system will include a designation in the record to indicate if it is a fully electronic or manual record.	Should Have	New

9. Documentation

Req ID	Requirement Description	Priority	Existing or New
DOC-1	Provide entity relationship diagram	Must Have	New
DOC-2	Provide data dictionaries for each data table using the DSHS standard template	Must Have	New

DOC-3	Provide method for extracting data ("drive" statements for each vital event):
	• Identify versions of records
	• Identify voided records
	• Improve flagging
	  ○ not statistically released
	  ○ not legally released
	  ○ foreign adoptions
		Must Have	New

DOC-4	Provide exact and complete information on field level edits	Must Have	New
DOC-5	Provide documentation on data matching processes	Must Have	Existing
DOC-6	Searchable documentation is available on line with an option to download a printable copy.	Must Have	New
DOC-7	Documentation is specific to Texas.	Must Have	New
DOC-8	Documentation is updated to reflect any changes in reports, edits or validation checks and past values are kept as historical when necessary.	Must Have	New
DOC-9	Documentation must include the method of extracting – "drive" statements for each vital event: • Records versions (explanation of data sealed in each version) • Void records (removals) • How to eliminate not statistically released records (if any) • How to eliminate not legally released records (if any) • How to identify foreign adoptions in birth data (if these will be coded differently) since we do not include them into the statistics • How to identify marriage records if they are not statistically released by in-house (or county clerks) data entry (if any)	Must Have	New
DOC-10	Must provide an explanation of each of the edits and validation checks with instructions for adding, removing, and modifying them	Must Have	New

Req ID	Requirement Description	Priority	Existing or New
DOC-11	Must provide an explicit and illustrated instruction for each type of user, including an explanation of menu options and screen flows from that user's perspective.	Must Have	New
DOC-12	Must provide instructions for all administrative functions (e.g. user management, changing alerts, role management, etc.).	Must Have	New
DOC-13	Must provide an overview and operating instructions for all interfaces.	Must Have	New
DOC-14	Must provide guidelines for how to make changes to custom letters, forms, and reports that State staff can maintain.	Must Have	New
DOC-15	Must provide layouts of all output files and messages	Must Have	New

10. Performance

Req ID	Requirement Description	Priority	Existing or New
PF-1	Simple pages must be rendered in 1 seconds or less assuming a download speed of 1.5 Mbps as measured from a user's nearest Internet Exchange Point (assuming the user has Broadband internet access).	Must Have	New
PF-2	Long-running processes (greater than 10 seconds) should be performed as background process	Should Have	New

11. Maintenance Processes

Req ID	Requirement Description	Priority	Existing or New
MP-1	The system should refresh the Training database on a configurable schedule.	Should Have	Existing

12. Accessibility

Req ID	Requirement Description	Priority	Existing or New
ACC-1	A text equivalent for every non-text element shall be provided (e.g., via "alt", "longdesc", or in element content) as required by §1194.22(a).	Must Have	New
ACC-2	Equivalent alternatives for any multimedia presentation shall be synchronized with the presentation as required by §1194.22(b).	Must Have	New
ACC-3	Web pages shall be designed so that all information conveyed with color is also available without color, for example from context or markup as required by §1194.22(c).	Must Have	New
ACC-4	Documents shall be organized so they are readable without requiring an associated style sheet as required by §1194.22(d).	Must Have	New
ACC-5	Redundant text links shall be provided for each active region of a server-side image map as required by §1194.22(e).	Must Have	New
ACC-6	Client-side image maps shall be provided instead of server-side image maps except where the regions cannot be defined with an available geometric shape as required by §1194.22(f).	Must Have	New
ACC-7	Row and column headers shall be identified for data tables as required by §1194.22(g).	Must Have	New
ACC-8	Markup shall be used to associate data cells and header cells for data tables that have two or more logical levels of row or column headers as required by §1194.22(h).	Must Have	New
ACC-9	Frames shall be titled with text that facilitates frame identification and navigation as required by §1194.22(i).	Must Have	New
ACC-10	Pages shall be designed to avoid causing the screen to flicker with a frequency greater than 2 Hz and lower than 55 Hz as required by §1194.22(j).	Must Have	New
ACC-11	A text-only page, with equivalent information or functionality, shall be provided to make a web site comply with the provisions of this part, when compliance cannot be accomplished in any other way. The content of the text-only page shall be updated whenever the primary page changes as required by §1194.22(k).	Must Have	New
ACC-12	When pages utilize scripting languages to display content, or to create interface elements, the information provided by the script shall be identified with functional text that can be read by assistive technology as required by §1194.22(l).	Must Have	New

Req ID	Requirement Description	Priority	Existing or New
ACC-13	When a web page requires that an applet, plug-in or other application be present on the client system to interpret page content, the page must provide a link to a plug-in or applet that complies with §1194.21(a) through (l) as required by §1194.22(m).	Must Have	New
ACC-14	When electronic forms are designed to be completed on-line, the form shall allow people using assistive technology to access the information, field elements, and functionality required for completion and submission of the form, including all directions and cues as required by §1194.22(n).	Must Have	New
ACC-15	A method shall be provided that permits users to skip repetitive navigation links as required by §1194.22(o).	Must Have	New
ACC-16	When a timed response is required, the user shall be alerted and given sufficient time to indicate more time is required as required by §1194.22(p).	Must Have	New
ACC-17	At least one mode of operation and information retrieval that does not require user vision shall be provided, or support for assistive technology used by people who are blind or visually impaired shall be provided as required by §1194.31(a).	Must Have	New
ACC-18	At least one mode of operation and information retrieval that does not require visual acuity greater than 20/70 shall be provided in audio and enlarged print output working together or independently, or support for assistive technology used by people who are visually impaired shall be provided as required by §1194.31(b).	Must Have	New
ACC-19	At least one mode of operation and information retrieval that does not require user hearing shall be provided, or support for assistive technology used by people who are deaf or hard of hearing shall be provided as required by §1194.31(c).	Must Have	New
ACC-20	Where audio information is important for the use of a product, at least one mode of operation and information retrieval shall be provided in an enhanced auditory fashion, or support for assistive hearing devices shall be provided as required by §1194.31(d).	Must Have	New
ACC-21	At least one mode of operation and information retrieval that does not require user speech shall be provided, or support for assistive technology used by people with disabilities shall be provided as required by §1194.31(e).	Must Have	New
ACC-22	At least one mode of operation and information retrieval that does not require fine motor control or simultaneous actions and that is operable with limited reach and strength shall be provided as required by §1194.31(f).	Must Have	New

13. Workflow

Req ID	Requirement Description	Priority	Existing or New
WF-1	The system should provide a method to automatically track tasks/events through a business process so users can easily identify tasks that need attention.	Should Have	New
WF-2	The system should identify batch imported or manually entered data requiring follow-up, provide routing to queues or workflows for appropriate follow-up, and provide flagging for data correction to be performed by designated users or user groups.	Should Have	New
WF-3	The system should provide real-time monitoring and viewing of record workflow status.	Should Have	New
WF-4	As records are queued for registration at the state, records are routed to various review queues based on flagged fields and status indicators in the record.	Must Have	Existing
WF-5	All death records are queued for manual review.	Must Have	Existing
WF-6	If a user enters a new value through the Add on the Fly (AOF) process, the record is flagged for review. A Reviewer will review the Add on the Fly values, and either add the new value to the appropriate system table, or correct the record.	Must Have	Existing
WF-7	If a value is supplied in any of the “Other” fields, the record is routed to the Statistical Review Queue. A State user will review the user supplied values for the Race and Hispanic Origin categories, and either validate or correct the record.	Must Have	Existing
WF-8	Incoming birth records with partial AOPs or indication that an AOP will be filed are routed to an AOP Pending queue. The AOP Pending Queue will indicate aging records.	Must Have	Existing
WF-9	The system will automatically route all records created by midwives and home birth records submitted by Local Registrars to a queue for manual review.	Must Have	New
WF-10	The system will automatically route records to be reviewed to individual Reviewer’s queues (in round-robin fashion).	Must Have	Existing
WF-11	Records will be reviewed by Records Receiving, and if an error is found, the record will be returned to the submitter for correction.	Must Have	Existing
WF-12	Records will be reviewed by Records Receiving, and if no errors are found, it is routed to the Ready for Registration queue.	Must Have	Existing

WF-13	Records being reviewed will display Accept and Reject buttons. If the Reviewer clicks the Accept button, the record will be routed to the Ready for Registration queue.	Must Have	Existing
WF-14	Records being reviewed will display Accept and Reject buttons. If the Reviewer clicks the Reject button, the record is unlocked, and returned to the submitter.	Must Have	Existing
WF-15	Electronic birth and death records will be filed first at the State, and then queued for the local registrar to file locally.	Must Have	New
WF-16	Death Records will be routed to the Certifier's queue once the Certifier has been designated and the record saved.	Must Have	Existing
WF-17	The facility may reject a record back to a funeral establishment if the medical certifier is not associated with the assigned facility.	Must Have	New
WF-18	The system acknowledges a medical certifier's "out of office" notification and automatically forwards the message to the person indicated by the absent certifier.	Must Have	New
WF-19	Birth and Death records that cannot be automatically matched are routed to a queue for manual matching	Must Have	Existing
WF-20	As help desk tickets are created, the system will allocate the ticket to help desk staff via round robin assignment.	Nice to have	New
WF-21	Daily, the system looks for birth or death records that are past due and routes these records to a State past due queue. These records could be orphaned, relinquished but never claimed, or the record owner has missed the deadline for filing the record with the State	Must Have	Existing
WF-22	For death records, the certifiers can refer the record to a different certifier base on cause of death. Physicians can refer to a ME/JP and vice versa. The record is routed to the other certifier's queue.	Must Have	New
WF-23	The system will allocate requests to State staff by individuals or by team, configurable by State staff	Must Have	Existing
WF-24	As records are processed through the system they are automatically moved from queue to queue, based on record type and status. As each participant completes their respective process, the data is available to the next participant.	Must Have	Existing
WF-25	A supervisor or other authorized user can easily reallocate an issue or group of issues to another individual or team.	Must Have	Existing
WF-26	A statistically random sampling of orders for each Issuance Specialist may be queued for quality review after documents are printed and prior to being sent to the customer.	Must Have	New

WF-27	The system will automatically allocate online orders to Processing Specialists.	Must Have	Existing
WF-28	If a Specialist adds custom content to a letter, the request is queued to a supervisor to review the letter.	Must Have	New
WF-29	Supervisory approval is required to amend a field more than once.	Must Have	Existing
WF-30	If an amendment is rejected by QA, the record is queued back to who created the amendment and left intact for corrections.	Must Have	New

14. Notifications / Alerts

Req ID	Requirement Description	Priority	Existing or New
NA-1	For State data-entry of birth, death, or fetal death records after one year from the date of event, the system will produce a warning message that the record is being entered after one year from the date of event.	Must Have	New
NA-2	Infant deaths - If a new death record is created for a child less than one year old, the system checks for a corresponding birth record. If a corresponding birth record is not found, the system will issue a message indicating there is not a birth record on file. Notification will be sent to the Local Registrar and to the State. The user may proceed to file the death record.	Must Have	New
NA-3	If the stakeholder orders more than one death certificate for a death record with a pending cause of death, the system will display a message: “Are you sure you want to order multiple copies of this death certificate - cause of death is pending.”	Must Have	New
NA-4	When the cause of death is amended from “Pending” to a cause, the system notifies stakeholder that the cause of death has been amended and is no longer pending. The notification will include information for ordering death certificates from the local registrar (supply contact info) or the online portal.	Must Have	New
NA-5	While ordering certified copies of a death certificate, if a credit card is declined, the system will issue a message indicating the card has been declined.	Must Have	Existing
NA-6	If the user enters “no” to the question “Is the child living now”, the system informs the user that a death record must also be filed if the child was born alive. Notification is also sent to Local Registrar	Must Have	New

Req ID	Requirement Description	Priority	Existing or New
NA-7	The system should provide notification to users upon login of pending activities or assignments based on priority.	Should Have	New
NA-8	Records being reviewed will display Accept and Reject buttons. If the Reviewer clicks the Reject button, the status of the record is set to ’Rejected”, the record is unlocked, and returned to the submitter. The submitter will be notified that a record is being returned for correction.	Must Have	New
NA-9	The Certifier will be automatically notified when records are assigned for certification.	Must Have	Existing
NA-10	The system will provide a way for the funeral home to send a reminder to the medical certifier. The reminder will contain the record number, date of death, and name of deceased.	Must Have	New
NA-11	The system notifies the funeral home, the assigned Local Registrar and the certifier if the medical certifier does not access the record within 5 days of being assigned the record.	Must Have	New
NA-12	If a medical certifier checks accident/suicide/homicide on a death record, then changes the record to reflect a natural cause of death, a notification is sent to the ME/JP just as a “heads up”. The notification will include the decedent’s name date of death place of death, and name of medical certifier.	Must Have	New
NA-13	If a Physician attempts to certify an accident, suicide, or homicide, the system will notify them that the record must be declined and returned to the funeral home so a ME or JP can be assigned to certify the record.	Must Have	New
NA-14	If a record is transferred from one stakeholder to another, notification is sent to the other stakeholders involved in the record’s registration	Must Have	New
NA-15	If a death record is modified by either the funeral home or the certifier and the information changed is any of the following: Decedent First, Middle, Last, Suffix, DOB, Gender, SSN – notify the other party of the change	Must Have	Existing
NA-16	Once the medical certifier electronically signs the death record, the system notifies the funeral home that the medical certification is complete.	Must Have	New
NA-17	If the medical certifier initiates the death record and assigns a Funeral Home, the Funeral Home will receive notification of the record.	Must Have	New
NA-18	Stakeholders (such as Local Registrars, Funeral Homes and Certifiers) impacted by a record being amended are notified of the amendment in progress.	Must Have	New

Req ID	Requirement Description	Priority	Existing or New
NA-19	If a cause of death is entered that matches an entry in the "Rare Causes of Death" table, the system will notify VSU Nosology with the EDR# and the cause of death listed.	Must Have	New
NA-20	After a birth record is initiated, if an AOP form is required to be submitted, the birth clerk will be notified of the approaching 5 day deadline to submit the form to the State.	Must Have	New
NA-21	Funeral homes and the assigned Local Registrar will be notified if they have not demographically certified the death record within 10 days of creating it.	Must Have	New
NA-22	Birth clerks will be notified if they have started but not finished the birth record within 5 days of the birth	Must Have	New
NA-23	Funeral homes and the assigned Local Registrar will be notified if a certifier is not designated by the funeral home within 5 days of initiating the record.	Must Have	New
NA-24	Stakeholders will be notified of any new records arriving in their queues.	Must Have	New
NA-25	Stakeholders who have ordered certified copies on behalf of their customer will be notified when the order is received, fulfilled, and shipped	Must Have	New
NA-26	Once a month, sent notifications to Local Registrars of stakeholders in their jurisdiction who have not released the statistical section of the birth record.	Must Have	New
NA-27	The system provides an easy way for the end user to send a question about a selected record to the State – the message will auto-populate with the user's information, information from the record, and the TxEVER Support Team's email address.	Must Have	New
NA-28	When a record is relinquished, notification is sent to the other stakeholders involved in the record's registration.	Must Have	New
NA-29	Automated notification will be provided to the Local Registrar when a State record from their jurisdiction is voided.	Must Have	New
NA-30	If a record is abandoned, notification is sent to the all stakeholders involved in the record's registration	Must Have	New
NA-31	At any point a particular participant's action is required on a record, that participant shall be notified automatically via a system message or email. The message must include a brief description of the action to be taken and a hyperlink that will take the user directly to the record that requires their attention, after having supplied their login credentials.	Must Have	New
NA-32	The user may receive alerts for records requiring their attention, new messages, and a count of unread messages.	Nice to Have	New

Req ID	Requirement Description	Priority	Existing or New
NA-33	The system will be able to broadcast messages when systems or gateways are down. When possible the message will include approximate down time, and estimated time of when system will be back up.	Nice to Have	New
NA-34	System supports broadcast messages sent from the State to all users or a sub-set of users. Broadcast messages may have start and stop dates. Broadcast messages can be set to be distributed at specific times.	Must Have	New
NA-35	The system provides functionality to automatically generate timely reminders to individuals to complete outstanding records. The time when reminders are generated is State-defined and may be different between different types of events.	Must Have	New
NA-36	The system must provide the ability to track that a notification(s) has been sent for a specific certificate. If a message is not opened and read within a State-defined period of time, a message is automatically sent to the sender to notify him that the message has not been read.	Nice to Have	New
NA-37	If an order is entered for Verification of Marriage prior to 1966 or Verification of Divorce prior to 1968 the system issues a message to the Issuance Specialist that these records are not on file.	Must Have	New
NA-38	If an inquiry order is entered for Acknowledgement of Paternity prior to September 1, 1999, the system issues a message to the Issuance Specialist that these records are not on file.	Must Have	New
NA-39	For copies of birth records, the system checks the certificate type to be issued. For example, the system will issue notifications to the Issuance Clerk to follow the appropriate guideline: • Delayed records must be issued as long form certified copies and are printed from the image. Delayed records are clearly indicated as such. • Certain other states require the long form birth certificate. • Long form birth certificates are required for amended records.	Must Have	New
NA-40	The system will alert the State user if payments received for an order are insufficient to cover that order.	Must Have	New
NA-41	The system will display a warning if the field has previously been amended.	Must Have	New
NA-42	Once the payment is accepted, the request issue's status will be updated and the Issuance Specialist will be notified so that request processing can continue without having to wait for a remittance number from the Comptroller.	Should Have	New

15. User Logins / Profiles

Req ID	Requirement Description	Priority	Existing or New
PROF-1	The system provides for three different types of customer accounts where they will order certified copies of vital records or data. The accounts can be pre-paid flat fee, pre-paid credit balance, or charge.	Must Have	New
PROF-2	User Profile should include the National Provider Number as appropriate	Should Have	New
PROF-3	Users will periodically be prompted upon login to update profile information.	Must Have	New
PROF-4	System will recognize a primary email account for sites where participants can direct messages when unsure of the specific individual who should be the recipient. The primary email account will be clearly identified in directory	Must Have	New
PROF-5	If a user is affiliated with multiple locations the user will be prompted to select a location upon logging in.	Must Have	Existing
PROF-6	The system will allow the user to change locations without having to log out and log back in.	Should Have	New
PROF-7	Users can configure their preferred method of communication in their profile. (Daily users may choose to receive all messages as system messages, while infrequent users of the system may choose to receive message by email or text message.) Contact information for the preferred and alternate methods of communication is stored in the User Profile.	Should Have	New
PROF-8	System provides an emergency management option which allows for an easy way to activate a separate a profile for designated users for use during times of emergency	Should Have	New
PROF-9	The system will authenticate system user licenses. This includes licensing for Midwives and Certified Nurse Midwives, Physicians, JPs, MEs, funeral homes and Bar numbers for attorneys. This will be checked when they set up a new account in the system and then each time they log in to verify the license is still in good standing.	Must Have	New

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Attachment D – External System Interfaces

VERSION 1.0 **REVISION DATE: 7/16/2015**

1. General Requirements

Req ID	Requirement Description	Priority	Existing or New
GE-1	The system should provide a way to configure and customize interface imports and exports.	Nice to Have	New
GE-2	The system interfaces should support multiple types of files for import and export (e.g. Comma Separate Values (CSV), XML, text, Unicode text, Data Interchange Format (DIF), Symbolic Link (SYLK)).	Nice to Have	New
GE-3	The schedule for importing or exporting files must be configurable and customizable.	Nice to Have	New
GE-4	The system should provide a designated DSHS user role the capability to configure and customize interfaces.	Nice to Have	New

2. File Data Imports

Req ID	Requirement Description	Priority	Existing or New
FFI-1	The system must be able to import Social Security numbers formatted with the Social Security Administration (SSA) Import format from a file on a local server. The system will update the Social Security number for the matching newborn record in the system.	Must Have	Existing
FFI-2	The system must be able to import order information from the online ordering system, Texas.gov. The general public uses that online system to order certified copies of birth and death records and verification letters for birth, death, marriage and divorce. The system must be able to import XML formatted records and generate orders for those records in the system.	Must Have	Existing
FFI-3	The system must be able to import order information from the death certificate ordering system, Texas.gov. Funeral Homes use that online system to order certified copies death records. The system must be able to import XML formatted records and generate orders for those records in the system.	Must Have	Existing
FFI-4	The system must be able to import reports of divorce and information about suits affecting parent / child relationships from county and district offices. The system will import those records and create corresponding records in the system.	Must Have	New
FFI-5	The system must be able to import marriage applications from county and district offices. The system will import those records and create corresponding records in the system.	Must Have	New

Req ID	Requirement Description	Priority	Existing or New
FFI-6	The system must be able to import orders for birth certificates from inmates in the Texas prisons. The Texas Department of Criminal Justice sends order information to DSHS via a flat file stored on a local server. The system must be able to import those orders and generate orders in the system.	Must Have	Existing
FFI-7	The system must be able to import birth, death, and fetal death records from records sent by the National Association for Public Health Statistics and Information System. Their system, State and Territorial Exchange of Vital Records (STEVE), will send records that originated in Texas as well as Texas residents who died in other states, babies born in other states to Texas residents, and people born in Texas and died in other states. The file type will have its own numbering schema.	Must Have	Existing
FFI-8	The system must be able to import birth and death records on a weekly basis from the NCHS Secure Access Management System (SAMS) system. The file sent is correcting bridged race codes.	Must Have	Existing
FFI-9	The system must be able to import payment information from mail in orders that are sent to the Remittance Disposition System.	Must Have	Existing
FFI-10	The system must be able to import payment information from the online orders or walk in orders after the payment is processed by DSHS Fiscal.	Must Have	Existing
FFI-11	The system must be able to import the Mortality Medical Data System (MMDS) file with cause of death coding sent from NCHS. The Respondent should be able to support ICD-10 codes.	Must Have	Existing
FFI-12	The system must be able to import requests from the SSA to validate the SSN of a newborn.	Must Have	Existing
FFI-13	The system must be able to import data from an Acknowledgement of Paternity (AOP) form.	Must Have	Existing

3. File Data Exports

Req ID	Requirement Description	Priority	Existing or New
FFE-1	The system must be able to export Social Security number requests for newborns formatted with the Social Security Administration (SSA) export format from a file on a local server. The SSA system will use the newborn information to create a Social Security number for the newborn.	Must Have	Existing

Req ID	Requirement Description	Priority	Existing or New
FFE-2	The system must be able to export all birth, death, and fetal death records on a daily basis and send these to STEVE. STEVE collects vital records from all 50 states and additional territories.	Must Have	Existing
FFE-3	Following the requirements in Attachment E – HL7 Interoperability the system must provide birth records on a daily basis to DSHS Newborn Screening and DSHS Immunization and on a monthly / annual basis to the Pregnancy Risk Assessment Monitoring System (PRAMS).	Must Have	New
FFE-4	The system must be able to export vital records (birth, death, marriage applications, suits, and divorce) for a given year to a file to be used to create microfiche indexes.	Must Have	Existing
FFE-5	The system must be able to export Acknowledgment of Paternity data on a daily basis to be sent to the Office of the Attorney General (OAG).	Must Have	Existing
FFE-6	The system will send all death records on a daily basis to the SSA.	Must Have	Existing
FFE-7	Following the requirements in Attachment E – HL7 Interoperability the system must provide death records on a weekly basis to DSHS Immunization and DSHS Texas Health Steps and on a monthly basis to DSHS Integrated Business Information System (IBIS).	Must Have	Existing
FFE-8	The system must be able to export all out-of-state death records on a weekly basis to be sent to the SuperMICAR process to correct cause of death and manner of death codes. The process runs through an ACME application and then a Mortality Medical Data System (MMDS) which will create a MMDS file to import back into the system.	Must Have	Existing
FFE-9	The system must export death records on a weekly basis to be sent to other State Agencies.	Must Have	Existing
FFE-10	The system must export death records on a weekly basis to be sent to OAG for the AOP process.	Must Have	Existing
FFE-11	The system must be able to export information quarterly about suits affecting parent child relationships (SAPCR) to be sent to OAG.	Must Have	Existing
FFE-12	The system must be able to export payment refund information on a daily basis and send this to the Health and Human Services Administration System.	Must Have	Existing
FFE-13	The system must be able to export Medicaid and CHIP birth records on a daily basis and send these to Health and Human Services Commission (HHSC).	Must Have	Existing
FFE-14	The system must be able to export birth, death, marriage applications, reports of divorce and suits on a weekly basis to HHSC.	Must Have	New

Req ID	Requirement Description	Priority	Existing or New
FFE-15	The system must be able to export financial data with transactions from the public who want to participate in the home visit program. These transactions are sent to the Remittance Disposition System	Must Have	Existing
FFE-16	The system must be able to export responses to requests from the SSA to validate the SSN of a newborn.	Must Have	Existing
FFE-17	The system must be able to export birth, fetal death, and death data daily to the local registrar whose jurisdiction the record was associated with.	Must Have	New

4. Real Time Imports

Req ID	Requirement Description	Priority	Existing or New
RTI-1	The system will need to receive address verification and geocoding information from an address verification / geocoding application.	Must Have	New
RTI-2	The system will need to receive verification status from the SSA, of the decedent's SSN that was sent to them. As part of the death registration process, the system must validate the reported SSN of a decedent.	Must Have	Existing
RTI-3	The system must be able to import license information (physician, funeral director, or midwife) and know that the license is current and in good standing.	Must Have	New
RTI-4	Following the requirements in Attachment E – HL7 Interoperability, the system will receive from the Hospital Electronic Health Record systems information about a mother whose newborns are having their birth registered. The information received will prepopulate the medical data worksheet and the mother's worksheet for a child's birth certificate.	Must Have	New
RTI-5	The system must be able to import requests from the Electronic Verification of Vital Events (EVVE) system. These requests are to verify the existence of a birth or death certificate for an individual.	Must Have	New
RTI-6	The system will need to receive information on a family, parents and or children, and verify birth records match or does not match information received for the HHSC Medicaid Eligibility System.	Must Have	Existing
RTI-7	The system will need to import information from emails sent as help desk tickets. The information imported from the email will be used to create a new help desk ticket.	Must Have	New

Req ID	Requirement Description	Priority	Existing or New
RTI-8	Have the ability to consume External Web services on real time events using Web Service definition language (WSDL) web services interface and RESTFUL interface.	Nice to Have	New

5. Real Time Exports

Req ID	Requirement Description	Priority	Existing or New
RTE-1	The system will need to send address information to an address verification / geocoding application.	Must Have	New
RTE-2	The system will need to send verification of birth records to HHSC Medicaid Eligibility services. Given a mother or father of a family, send back verification of children birth information.	Must Have	Existing
RTE-3	The system will send to the SSA, the decedent's SSN. As part of the death registration process, the system must validate the reported SSN of a decedent.	Must Have	Existing
RTE-4	Following the requirements in Attachment E – HL7 Interoperability, the system will send to Hospital Electronic Health Record systems information about a mother whose newborns are having their birth registered.	Must Have	New
RTE-5	The system must be able to send license information (physician, funeral director, or midwife) to licensing authorities to validate those licenses are current and in good standing.	Must Have	New
RTE-6	The system must be able to respond to requests from EVVE. The system must respond as a found or not found reply to verify the existence of a birth or death certificate for an individual.	Must Have	New
RTE-7	The system will need to generate emails to users who filed a help desk ticket via an email. The system will export all pertinent information and send an email back to the user who filed the ticket.	Must Have	New
RTE-8	Have the ability pass the document metadata via WDSL Extensible Markup Language (XML) object to communicate with the Agency Enterprise Content Management (ECM).	Must Have	Existing
RTE-9	Have the ability to pass the document image content in a binary format or store the document image at a file share and pass the location via WSDL (XML) to communicate with the Agency ECM.	Must Have	Existing
RTE-10	Have the ability to pass the document metadata as a JSON object to a RESTFUL web service to communicate with the Agency ECM.	Must Have	Existing
RTE-11	Must pass the security and policy information to external document repository using WSDL/JSON notation to communicate with the Agency ECM.	Must Have	Existing

6. Connectivity Protocols Supported

Req ID	Requirement Description	Priority	Existing or New
CPS-1	The system must support connectivity via SFTP protocols. This includes uploading files to an SFTP site/location and downloading (polling) from an SFTP site/location	Must Have	New
CPS-2	The system must support connectivity via Web Services.	Must Have	New
CPS-2.1	The system must be able to **publish** a web service with Operations for Requesting payload data	Must Have	New
CPS-2.2	The system must be able to **consume** a web service with Operations for Requesting payload data	Must Have	New
CPS-3	The system can support Direct Connect protocols. This is to exchange secure emails containing data payload attachments with other Direct Connect clients	Nice to Have	New

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Attachment E – HL7 Interoperability

VERSION 1.0 **REVISION DATE: 7/21/2015**

1. Messaging

Req ID	Requirement Description	Priority	Existing or New
MA-1	The system must comply with the State of Texas specification, coding and transportation requirements: • Health Level Seven (HL7) messaging • Systematized Nomenclature of Medicine (SNOMED) Coding • Logical Observation Identifiers Names and Codes (LOINC) Coding • International Classification of Diseases (ICD)-9 Coding (backwards compatibility) • ICD-10 Coding	Must Have	New
MA-2	The system must comply with Office of the National Coordinator (ONC) for Health Information standards related to the messages described below.	Must Have	New
MA-3	The system messaging standards must include HL7 Versions: • 2.3.1 (required) • 2.5.1 (conditional on hospital's Electronic Health Records (EHR)) • 3.x Clinical Document Architecture (CDA) (conditional on hospital's Electronic Medical Records (EMR))	Must Have	New
MA-4	The reference specifications include but not limited to: • HL7 Version 3 Domain Analysis Model: Vital Records, Release 1 • HL7 Electronic Health Records (EHR) System Functional Model Public Health Functional Profile, Release 2 (includes a vital records domain) • HL7 Version 2.3.1 Implementation Guide: Reporting Birth & Fetal Death Information from the EHR to Vital Records, R1 • HL7 Version 2.5.1 Implementation Guide: Reporting Birth & Fetal Death Information from the EHR to Vital Records, R1 (conditional on hospital's Electronic Health Records (EHR)) • HL7 Version 3 CDA R2 Implementation Guide: Reporting Birth & Fetal Death Information from the EHR to Vital Records Release 1 (conditional on hospital's Electronic Medical Records (EMR)) • Integrating the Healthcare Enterprise (IHE) Birth and Fetal Death Reporting (BFDR) • IHE Vital Records Death Reporting (VRDR)	Must Have	New

<table>
<tr><th>Req ID</th><th>Requirement Description</th><th>Priority</th><th>Existing or New</th></tr>
<tr><td>MA-5</td><td>The referenced specifications include all acknowledgements (ACK)</td><td>Must Have</td><td>New</td></tr>
<tr><td>MA-6</td><td>The message structures must be configurable by DSHS staff.</td><td>Must Have</td><td>New</td></tr>
<tr><td>MA-7</td><td>The system must include two-way web service communication:
• Publish Web Service
• Consume Web Service</td><td>Must Have</td><td>New</td></tr>
<tr><td>MA-8</td><td>The system must utilize SFTP / FTPS protocols</td><td>Must Have</td><td>New</td></tr>
<tr><td>MA-9</td><td>The system must utilize direct connect</td><td>Must Have</td><td>New</td></tr>
<tr><td>MA-10</td><td>The system must utilize Network transports, i.e. – network folder to network folder</td><td>Must Have</td><td>New</td></tr>
<tr><td>MA-11</td><td>Have a working Electronic Birth Registry System (EBRS) and Electronic Death Registry System (EDRS) that is:
• Collecting information using the 2003 U.S. standard certificate for birth and death and U.S. Report of Fetal Death
• Able to receive (preferred), or can be retrofitted to receive the following HL7 compliant messages or CDA information from a hospital EHR:
    o HL7 Version 2.5.1 Implementation Guide: Birth and Fetal Death Reporting, Release 1 - US Realm, Draft Standard for Trial Use (DSTU) Release 1.1
    o HL7 Implementation Guide for CDA® Release 2: Birth and Fetal Death Reporting to Vital Records, Release 1 (US Realm)
    o HL7 Version 2.5.1 Implementation Guide: Vital Records Death Reporting, Release 1 - US Realm, DSTU Release 1.1
    o HL7 Implementation Guide for CDA® Release 2: Vital Records Death Report, Release 1 - US Realm</td><td>Must Have</td><td>New</td></tr>
<tr><td>MA-12</td><td>Able to implement the following Integrating the Healthcare Enterprise (IHE) content profiles that defines the content that may be obtained from an electronic health record systems and transmitted to the state VR system for vital registration purposes:
• Integrating the Healthcare Enterprise – Birth and Fetal Death Reporting Enhanced (BFDR-E) Content Profile
• Integrating the Healthcare Enterprise – Vital Records Death Reporting (VRDR) Content Profile</td><td>Must Have</td><td>New</td></tr>
</table>

2. Vital Records Messaging – General

Req ID	Requirement Description	Priority	Existing or New
VRG-1	The system must be able to parse HL7 2.3.1 and HL7 2.5.1 real-time messages received with standard encoding.	Must Have	New
VRG-2	The system should be able to parse HL7 2.3.1 and HL7 2.5.1 real-time messages received with XML encoding.	Nice to Have	New
VRG-3	The system should be able to parse HL7 2.3.1 and HL7 2.5.1 real-time messages received with ebXML encoding.	Nice to Have	New
VRG-4	The system must be able to generate the following types of real-time HL7 2.3.1 messages: • Acknowledging A Message – ACK	Must Have	New
VRG-5	The system must be able to generate the following types of real-time HL7 2.5.1 messages: • Acknowledging A Message – ACK	Must Have	New
VRG-6	The system must be able to generate HL7 2.3.1 and HL7 2.5.1 real-time messages using standard encoding.	Nice to Have	New
VRG-7	The system should be able to generate HL7 2.3.1 and HL7 2.5.1 real-time messages using ebXML encoding.	Nice to Have	New
VRG-8	The system must generate and send the applicable real-time HL-7 message whenever a real-time HL7 message has been received and parsed.	Must Have	New
VRG-9	The system should provide a module that will allow providers to submit messages for testing and validation.	Should Have	Existing
VRG-10	The system must reject incoming HL7 2.3.1 and HL7 2.5.1 real-time messages that do not have valid HL7 syntax and structure.	Must Have	Existing
VRG-11	The system must validate HL7 2.3.1 and HL7 2.5.1 real-time messages for valid HL7 syntax and structure before sending the messages.	Must Have	Existing
VRG-12	The system must reject incoming HL7 2.3.1 and HL7 2.5.1 real-time messages that do not meet DSHS HL7 Quality Standards.	Must Have	New

3. Vital Records Birth Messaging

Req ID	Requirement Description	Priority	Existing or New
VRB-1	The system must be able to import the following types of HL7 2.3.1 and HL7 2.5.1 messages formatted in the DSHS Birth Message Format from a batch file on a local server to create a birth record in the system: • Information about a birth - ADT^A04 • Revision to information about a birth – ADT^A08	Must Have	New

Req ID	Requirement Description	Priority	Existing or New
VRB-2	The system must be able to consume the following types of HL7 2.3.1 and HL7 2.5.1 real-time messages: • Send information about a birth – ADT^A04 • Send revised information about a birth – ADT^A08	Must Have	New

4. Vital Records Fetal Death Messaging

Req ID	Requirement Description	Priority	Existing or New
VRFD-1	The system must be able to import the following types of HL7 2.3.1 and HL7 2.5.1 messages formatted in the DSHS Fetal Death Message Format from a batch file on a local server to create or modify a fetal death record in the system: • Information about a fetal death - ADT^A04 • Revision to information about a fetal death – ADT^A08	Must Have	New
VRFD-2	The system must be able to consume the following types of HL7 2.3.1 and HL7 2.5.1 real-time messages: • Send information about a fetal death – ADT^A04 • Send revised information about a fetal death – ADT^A08	Must Have	New

5. Vital Records Death Messaging

Req ID	Requirement Description	Priority	Existing or New
VRD-1	The system must be able to import the following types of HL7 2.3.1 and HL7 2.5.1 messages formatted in the DSHS Death Message Format from a batch file on a local server to create or modify a death record in the system: • Information about a death - ADT^A04 • Revision to information about a death – ADT^A08 • Retract death information record – ADT^A23	Must Have	New
VRD-2	The system must be able to consume the following types of HL7 2.3.1 and HL7 2.5.1 real-time messages: • Send information about a death – ADT^A04 • Send revised information about a death – ADT^A08 • Retract death information record – ADT^A23	Must Have	New

6. Real Time Data Transport Protocols

Req ID	Requirement Description	Priority	Existing or New
TP-1	The system must be able to send HL7 2.3.1 and HL7 2.5.1 messages using SOAP 1.2 over HTTPS.	Must Have	New
TP-2	The system must be able to receive HL7 2.3.1 and HL7 2.5.1 messages using SOAP 1.2 over HTTPS.	Must Have	New
TP-3	The system must be able to consume and publish HL7 2.3.1 and HL7 2.5.1 messages using web services.	Must Have	New

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Attachment F – Data Migration

VERSION 1.0 **REVISION DATE: 06/26/2015**

1. Data Migration Plan

Req ID	Requirement Description	Priority	Existing or New
DMP-1	Vendor must develop a DSHS approved data migration plan. The plan will describe the iterative process used and the acceptance criteria at the end of all iterations. The plan should include but not limited to data profiling.	Must Have	New
DMP-2	Vendor must develop a migration data mapping plan including mapping specifications and time estimates for data migration. This plan must be approved by DSHS.	Must Have	New
DMP-3	Vendor must create and maintain a Risk Mitigation Plan for data migration. This plan must be reviewed with DSHS on a DSHS agreed upon schedule.	Must Have	New
DMP-4	Vendor must develop data migration test plan.	Must Have	New
DMP-5	Vendor must develop DSHS approved data migration architecture.	Must Have	New
DMP-6	Vendor must create a migration fallback plan for restoring the previous iteration migration.	Must Have	New
DMP-7	Working with DSHS VSU and Records Retention, the vendor must create a plan for the disposition of obsolete or unused data that is not converted. This plan must be approved by DSHS.	Must Have	New
DMP-8	Vendor must develop a DSHS approved migration specification.	Must Have	New
DMP-9	Vendor must describe any limitations or constraints that have a significant impact on the data migration effort.	Must Have	New
DMP-10	Vendor will document change control procedures so they can be incorporated into the migration procedures and plans.	Must Have	New
DMP-11	Vendor must create a detailed data dictionary using the DSHS standard template.	Must Have	New
DMP-12	Vendor must gather information about the storage server environment and applications (list and/or drawing).	Must Have	New
DMP-13	Vendor must define hardware requirements for all environments: development, test, and production.	Must Have	New
DMP-14	Vendor must create a DSHS approved interface design specification.	Must Have	New
DMP-15	Vendor must define a QA reporting strategy and associated technology for the data migration phase.	Must Have	New
DMP-16	Vendor must define an ongoing data quality monitoring solution.	Must Have	New
DMP-17	Vendor must identify what data related to specific business processes will be migrated first.	Must Have	New
DMP-18	Vendor must identify and describe any part of the migration process that will be performed manually.	Must Have	New

Req ID	Requirement Description	Priority	Existing or New
DMP-19	Vendor must identify and describe any custom-developed migration programs that will be needed, and associated performance tuning.	Must Have	New
DMP-20	Vendor must define what steps will be taken should the need arise to roll back to the existing system, TER.	Must Have	New
DMP-21	Vendor must define the strategy used to handle data mapping issues. Consider the following issues but do not limit the strategy to these: • Implement data type redefinitions • Address garbled content • Address invalid record relationships • Address invalid content • Address context changes • Address data behavior issues	Must Have	New
DMP-22	Vendor must define the strategy to keep the new system and Texas Electronic Registrar (TER) in sync during the pilot testing and if required during the deployment phase of the project.	Must Have	New
DMP-23	Vendor must establish a migration management team comprised of vendor staff and DSHS staff.	Must Have	New
DMP-24	Vendor must establish a technical migration team comprised of vendor staff and DSHS staff. Vendor must define the staffing approach.	Must Have	New
DMP-25	Vendor must describe how the source and target data baselines will be created and managed prior to any manipulation or migration. Also describe backups that may occur incrementally while stepping through the process of preparing, moving, and manipulating the data during migration.	Must Have	New
DMP-26	Vendor will determine high-level volume metrics and create a high-level scoping report.	Must Have	New
DMP-27	Vendor must describe the approach that will be used to extract, transform, cleanse and load data from the source to target destinations during the migration process.	Must Have	New
DMP-28	Vendor must describe security and privacy controls required for the migration process.	Must Have	New

2. Data Migration Process

Req ID	Requirement Description	Priority	Existing or New
PRO-1	Vendor must identify if the migration process will be implemented in phases or stages, and if so, identify which components will undergo migration in each phase.	Must Have	New

Req ID	Requirement Description	Priority	Existing or New
PRO-2	Vendor must work with the DSHS availability and production schedules.	Must Have	New
PRO-3	Vendor must schedule a pre-migration rehearsal that includes all the members of the migration team and a data sampling that will enable the application groups to appropriately conduct the pre- and post-migration verification process.	Must Have	New
PRO-4	Vendor must work with DSHS and the existing vendor to create a data migration process to migrate vital event data from the existing system, Texas Electronic Registrar (TER), to the new system.	Must Have	New
PRO-5	Each data migration process must perform data cleansing, data transformation, data augmentation functions based on DSHS business rules.	Must Have	New
PRO-6	Each data migration process must produce an exception report of orphaned records or records marked as void. These reports will be provided to DSHS to resolve.	Must Have	New
PRO-7	Each data migration process must prevent duplication of data in the target component. The vendor will produce an exception report of these duplicates for DSHS to resolve.	Must Have	New
PRO-8	Each data migration process must have the ability to create exception reports for any data that does not migrate.	Must Have	New
PRO-9	Vendor must create a data migration process to migrate all Remote Front Office (RFO) data from the RFO system to the new system.	Must Have	New
PRO-10	Vendor must create a data migration process to migrate all adoption data from the various data bases to the new system: Adoption Data: • 2005-current - adoption records are in TER • 1996-2005 - adoption records are in ADO • pre-1996 – adoption records are in the initial adoption system	Must Have	New
PRO-11	Vendor must create a data migration process to migrate voluntary adoption data from VAR system to the new system.	Must Have	New
PRO-12	Vendor must create a data migration process to migrate paternity data from Paternity Registry to the new system.	Must Have	New
PRO-13	Vendor must create a data migration process to migrate fetal death data from the current tables to the new system.	Must Have	New
PRO-14	Vendor must create a data migration process to migrate divorce and suits affecting parent child relationships in the Court of Continuing Jurisdiction (CCJ) system to the new system.	Must Have	New
PRO-15	Vendor must create a data migration process to migrate all Acknowledgement of Paternity data from the AOP Fax Server to the new system. See Attachment D – External System Interfaces for how the system must interface with the imaging solution.	Must Have	New

Req ID	Requirement Description	Priority	Existing or New
PRO-16	Vendor must create a data migration process to migrate all Reports of Abortion data from the Induced Termination of Pregnancy (ITOP) tables to the new system.	Must Have	New
PRO-17	Vendor must create a data migration process to migrate user data (account, profile) from the existing system to the new system.	Must Have	New
PRO-18	Vendor must create a data migration process to migrate pick list data (cities, counties, titles, etc.) from the existing system to the new system. These lists must include the HL7 reference tables.	Must Have	New
PRO-19	Vendor must create a data migration process to migrate a facility data (hospitals, birthing centers, medical examiners, funeral homes, etc.) from the existing system to the new system. DSHS will provide business rules for excluding non-facility data.	Must Have	New
PRO-20	Vendor must develop a DSHS approved data migration QA process.	Must Have	New
PRO-21	DSHS prefers the vendor to use automated migration processes instead of manual methods.	Must Have	New
PRO-22	DSHS requires the vendor to rely on profiling for assuring that migration succeeded.	Must Have	New
PRO-23	Vendor must describe the process to restore the source data if the need to revert to a previous back-up is identified at any point during the migration process.	Must Have	New
PRO-24	Vendor must provide a cross reference of the input (source) data that is to be converted to the resultant output (target) data. Also identify if any of the data are derived from other data. Provide transformation / cleansing rules for each data element and any other additional considerations. Transformation and cleansing rules may include, but not limited to, the following: • Translation of literal value(s) to literal value(s) • Default null to literal value • Empty field processing (i.e., null to space or space to null) • Formulas (i.e., simple equations and mathematical expressions)	Must Have	New
PRO-25	During the data migration phase, the Vendor will establish a migration status meeting following a DSHS specified schedule.	Must Have	New
PRO-26	Vendor must account for stored procedures and other in-database procedural logic.	Must Have	New
PRO-27	Vendor must follow HHS data security guidelines.	Must Have	New
PRO-28	Vendor must document the data migration logic.	Must Have	New

Req ID	Requirement Description	Priority	Existing or New
PRO-29	Vendor must maintain the data dictionary, metadata repository accordingly.	Must Have	New
PRO-30	Vendor must create a gap-analysis process for measuring planned vs actual progress.	Must Have	New
PRO-31	On a DSHS prescribed schedule (specifying lead time of the event) the vendor will inform the security and compliance groups about the migration. Using this schedule DSHS will notify stakeholders of the date, time and duration of the migration process.	Must Have	New
PRO-32	Vendor must notify DSHS that the migration is complete and decommissioning the legacy data is recommended.	Must Have	New
PRO-33	DSHS must approve the vendor anticipated data quality levels in the target.	Must Have	New
PRO-34	Vendor must keep an accurate log of SLA progress.	Must Have	New

3. Data Migration Execution

Req ID	Requirement Description	Priority	Existing or New
DME-1	Vendor will participate in the project close-out meeting and contribute to the details learned during the data migration phase.	Must Have	New
DME-2	Vendor must transform historic data to new data standard to ensure consistency of all data records according to the data dictionary.	Must Have	New
DME-3	Vendor must be able to implement the detailed business rules for methods for data cleansing, data transformation, and data augmentation processes. The vendor must preserve the original data following DSHS legal constraints. Vendor needs to pay particular attention to the life time counts for issuance between the TER system and the Remote Front Office (RFO) system and ensure those counts are in sync at the record level.	Must Have	New
DME-4	Vendor must create a data quality management process and impact report: • Cleanse in staging process • Cleanse in-flight using coding logic • Cleanse on target	Must Have	New
DME-5	Vendor must define and use Extract, Transform, and Load (ETL) tools for the data migration solution.	Must Have	New
DME-6	Vendor must utilize a migration planning checklist to ensure that all the pre-migration planning steps have been executed.	Must Have	New
DME-7	Vendor must develop an independent migration validation engine.	Must Have	New

Req ID	Requirement Description	Priority	Existing or New
DME-8	Vendor must perform backups of source data before migration.	Must Have	New
DME-9	Vendor must test the migration with a mirror of the production environment.	Must Have	New
DME-10	Vendor must run a pre-validation test.	Must Have	New
DME-11	Vendor must create migration stats reports.	Must Have	New
DME-12	Vendor will run a post-validation test.	Must Have	New

4. Data Migration Sizing Information

The following tables describe the source databases and estimated number of tables and fields for each type of data that will be migrated into the new system.

Data Source	Data Volumes	Hardware	OS	RDBMS	Version	Fields
Birth Record	24 million records 400,000 records registered each year	IBM XSERIES x3650 E5530 @ 2.4GHz, 24GB RAM	Windows Server 2003 R2 Enterprise Edition x64 SP2	Oracle 11.2.0.3	Enterprise Edition	232
Death Records	10 million death records 170,000 records registered each year	IBM XSERIES x3650 E5530 @ 2.4GHz, 24GB RAM	Windows Server 2003 R2 Enterprise Edition x64 SP2	Oracle 11.2.0.3	Enterprise Edition	160
Marriage Applications	8 million records 185,000 records registered each year	IBM XSERIES x3650 E5530 @ 2.4GHz, 24GB RAM	Windows Server 2003 R2 Enterprise Edition x64 SP2	Oracle 11.2.0.3	Enterprise Edition	116
Divorce / Suits	3.5 million records 140,000 records registered each year	VMWare	Red Hat Linux 6.2	Oracle 11.2.0.3	Enterprise Edition	19
Fetal Deaths	43,400 records 2,100 records registered each year	Netware	Novell 2.5	FoxPro	FoxPro for Windows 2.6A	242 (as of data year 2014)

Data Source	Data Volumes	Hardware	OS	RDBMS	Version	Fields
Reports of Abortion	2.3 million records 90,000 records registered each year	Desktop	Windows 7	MS Access for current year, 1986-2013 stored in flat statistical files	MS Access 2013 (v10)	52 in MS Access 32 in flat statistical files
AOP	1.8 million records 260,000 records registered each year	Dell PowerEdge 2850 Xeon 2.8GHz 8GB RAM	Windows Server 2003 Enterprise Edition SP2	Oracle 11.2.0.3	Enterprise Edition	80
ADO	188,940 records	Dell PowerEdge 6400/700 2GB RAM	Windows NT 4.0	Sybase 11.9.2	Adaptive Server Enterprise	14
VAR	11,329 records	VMWare	Red Hat Linux 6.2	Oracle 11.2.0.3	Enterprise Edition	38
Paternity Registry	1,538	VMWare	Red Hat Linux 6.2	Oracle 11.2.0.3	Enterprise Edition	19

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Attachment G – Statistical Reporting Database

VERSION 1.0 **REVISION DATE: 7/03/2015**

1. Statistical Reporting Database General Requirements

DSHS plans to implement a robust Statistical Reporting Database as the **staging environment for their statistical analysis and reporting**. The requirements in this attachment are intended to provide the vendor with the required assistance and cooperation needed to build this Statistical Reporting Database. The vendor's scope of work for this effort is to assist and cooperate.

Req ID	Requirement Description	Priority	Existing or New
GEN-1	Vendor will cooperate with DSHS as the Agency plans, designs, and implements a Statistical Reporting Database.	Must Have	New
GEN-2	DSHS will implement the Statistical Reporting Database at a DSHS specified location.	Must Have	New
GEN-3	DSHS will control access to the Statistical Reporting Database.	Must Have	New
GEN-4	The vendor will work with DSHS to design and implement interfaces from the Production database to the Statistical Reporting Database.	Must Have	New
GEN-5	The vendor and DSHS will mutually agree on a schedule of when data will be sent to the Statistical Reporting Database.	Must Have	New

2. Statistical Reporting Database Plan

Req ID	Requirement Description	Priority	Existing or New
DWP-1	DSHS will create a Statistical Reporting Database review team. The vendor will be part of this team.	Must Have	New
DWP-2	Identify lower levels of detail for major subjects: • Identify keys • Identify attributes • Group the keys and attributes • Identify relationships between groupings of data • Identify time variances of each group	Must Have	New

Req ID	Requirement Description	Priority	Existing or New
DWP-3	Identify operational system of record used to feed the Statistical Reporting Database: • Identify the source for every attribute • Identify the conditions under which one attribute or another will be the source • If there is no source for an attribute, have default values been identified? • Identify common measure of attribute values been for those data attributes in the Statistical Reporting Database environment • Identify the common encoding structure for those attributes in the Statistical Reporting Database environment • Identify key structure in the Statistical Reporting Database environment where the system of record key does not meet the conditions for the DSS key structure, identify conversion path been • If data comes from multiple sources, has the logic to determine the appropriate value been identified • Identify the technology that houses the system of record • Will any attribute have to be summarized on entering the Statistical Reporting Database? • Will multiple attributes have to be aggregated on entering the Statistical Reporting Database? • Will data have to be re-sequenced on passing into the Statistical Reporting Database? • Update the data dictionary after each change.	Must Have	New
DWP-4	Assist in determining rate of data growth.	Must Have	New
DWP-5	Assist with determining or suggesting data index strategy: • Will any table have more than four indexes? • Will any table be hashed? • Will any table have only the primary key indexed? • What overhead will be required to maintain the index? • What overhead will be required to load the index initially? • How often will the index be used? • Can or should the index be altered to serve a wider use? • The hashed or primary key should satisfy most accesses. • Secondary indexes should satisfy other popular access patterns. • Temporary indexes should satisfy the occasional access.	Must Have	New
DWP-6	Extraction and subsequent indexing of a subset of Statistical Reporting Database data should satisfy infrequent or once-in-a-lifetime accesses of data.	Must Have	New

Req ID	Requirement Description	Priority	Existing or New
DWP-7	Assist with identifying total processing capacity requirements • For initial implementation • For the Statistical Reporting Database environment at maturity	Must Have	New
DWP-8	Assist with determining recovery time and DCS coordination: Is computer operations prepared to execute a full Statistical Reporting Database recovery? A partial recovery? Will operations periodically practice recovery so that it will be prepared in the event of a need for recovery? What level of preparedness is exhibited by: • Systems support • Applications programming • DBA	Must Have	New
DWP-9	Assist with determining or identifying catalog or dictionary to be maintained for the Statistical Reporting Database environment: • Catalog, data dictionary Custodian • Identify process to keep catalog/data dictionary updated and accurate • Access	Must Have	New
DWP-10	Assist in developing a test plan and test cases.	Must Have	New

3. Statistical Reporting Database Design

Req ID	Requirement Description	Priority	Existing or New
DWD-1	Identify frequency of extract processing — from the operational system of record to the Statistical Reporting Database environment. How will the extract processing identify changes to the operational data from the last time an extract process was run? • By looking at time-stamped data? • By changing operational application code? • By looking at a log file? An audit file? • By looking at a delta file? • By rubbing "before" and "after" images together?	Must Have	New

Req ID	Requirement Description	Priority	Existing or New
DWD-2	Assist with determining or identifying the level of granularity of data in the Statistical Reporting Database environment: • Lightly summarized data • Highly summarized data • Current detail • Multiple levels • Rolling summarization	Must Have	New
DWD-3	Assist with determining or identifying relationships between major subjects areas will be recognized in the Statistical Reporting Database environment. Will their implementation: • Cause foreign keys to be kept up-to-date • Make use of artifacts	Must Have	New
DWD-4	What overhead is required in the building and maintenance of the relationship in the Statistical Reporting Database environment?	Must Have	New
DWD-5	Assist with determining or identifying reference tables stored in the Statistical Reporting Database environment.	Must Have	New
DWD-6	Identify how finely the partitioning of the data break the data up: • Current volume of data • Future volume of data • Current use of data • Future use of data • Partitioning of other data in the warehouse • Use of other data • Volatility of the structure of data	Must Have	New
DWD-7	Assist with determining or identifying how major subjects will be partitioned: • By year • By geography • By functional unit • By product line	Must Have	New
DWD-8	Assist with determining or identifying dimensional and fact tables.	Must Have	New
DWD-9	Assist with development of a Process Design Model: • Context-level zero diagram • ER Diagrams • Physical Data Model • Modeling components captured in Metadata repository	Must Have	New

4. Statistical Reporting Database Execution

Req ID	Requirement Description	Priority	Existing or New
DWE-1	Assist with determining or identifying the level of preparation for loading of a table and indexing by: • Operations • Systems support • Applications programming • DBA • Data Analyst	Must Have	New
DWE-2	Assist with determining or identifying external data (that is, data other than that generated by a company's internal sources and systems) that will enter the Statistical Reporting Database environment: • Will it be specially marked? • Will its source be stored with the data? • How frequently will the external data enter the system? • How much of it will enter? • Will an unstructured format be required? • What happens if the external data is found to be inaccurate?	Must Have	New
DWE-3	Identify time lag for getting data from the operational to the Statistical Reporting Database environment. Will the time lag ever be less than 24 hours? If so, why and under what conditions? Will the passage of data from the operational to the Statistical Reporting Database environment be a "push" or a "pull" process?	Must Have	New
DWE-4	Assist in the design of a migration plan from existing Statistical Reporting Database to new Statistical Reporting Database platform: • Identify subjects • Determine how much data, rows. • Determine how much processing time required. • Recommend growth pattern	Must Have	New
DWE-5	Follow DSHS Data Migration standards.	Must Have	New
DWE-6	Follow DSHS Data Security standards	Must Have	New
DWE-7	Assist with developing a process and identify tools to monitor Statistical Reporting Database performance and suggest performance improvement.	Must Have	New

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Attachment H – DSHS Core Vendor Contract General Provisions

(DSHS Core Vendor Contract General Provisions can be uploaded with this link)

Attachment L 2015
GPs Vendor (8 3)(4-1

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Attachment I – Cost Proposal Template

VERSION 1.0 **REVISION DATE: 6/26/2015**

(Cost Proposal is a being provided as an excel format and can be uploaded with this link)

TxEVER RFP
Attachment I - Cost F

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Attachment J – Data Use Agreement

Data Use Agreement: There is no need to complete the DUA in order to submit a response.

(Data Use Agreement can be uploaded with this link)

Attachment J
data-use-agreement.

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Attachment K – HHS Security and Privacy Initial Inquiry (SPI)

Respondent is required to submit this form with their proposal.

(HHS Security and Privacy Initial Inquiry can be uploaded with this link)

SPI Directions.pdf

Attachment K
SPI.pdf

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Attachment L – HUB Subcontracting Plan

VERSION 1.0 **REVISION DATE: 4/13/2015**

(HUB Subcontracting Plan, Checklist and CMBL List can be uploaded with this link)

Attachment L - HUB
Quick Checklist & HSP

Attachment L -
CMBL.PDF

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Attachment M – Hosting Solution

VERSION: 1.0 **REVISION DATE: 07/17/2015**

1. General Requirements

Req ID	Requirement Description	Priority	Existing or New
GEN-1	❖ Vendor must provide the following environments: ➢ Production ➢ Staging (disaster / recovery - physically located away from production) ➢ Test ➢ Development ➢ Training	Must Have	New
GEN-2	All service instances are isolated from each other	Must Have	New
GEN-3	Hosting site must be built for 99.99 availability	Must Have	New
GEN-4	Data Center is built for scalable, fault tolerant services	Must Have	New
GEN-5	Vendor is monitoring workload and infrastructure, with alerts in place to react quickly to necessary changes.	Must Have	New
GEN-6	Hosting site provides robust Internet connectivity.	Must Have	New
GEN-7	Each availability zone has redundant, Tier 1 ISP Service Providers.	Must Have	New
GEN-8	Hosting site provides for a resilient network infrastructure.	Must Have	New
GEN-9	Vendor shall exercise reasonable best efforts to provide that Vendor's System is designed, maintained and upgraded at all times so as to minimize the risk of attacks. Vendor must provide the standards used to mitigate attacks.	Must Have	New
GEN-10	Vendor acknowledges that DSHS Data is the Confidential Information of DSHS.	Must Have	New
GEN-11	Vendor acknowledges that DSHS Data is the property of DSHS and that the Vendor will relinquish all DSHS Data should the hosting agreement expire or be terminated by DSHS. Vendor also acknowledges that DSHS has unrestricted access to their data at no additional cost to DSHS.	Must Have	New
GEN-12	Any Vendor employee who has physical or logical access to the hosting site must pass a fingerprint-based criminal background check. Background check requirements are in the RFP.	Must Have	New
GEN-13	Vendor's proactive system management includes Capacity Planning, Environment Auditing, Health Check Auditing, Security Auditing, and Maintenance Updates of DSHS's environment to minimize risks and ensure availability.	Must Have	New

Req ID	Requirement Description	Priority	Existing or New
GEN-14	The DSHS environments will be deployed into a data center at a minimum matching the State Data Center hardware requirements. Any changes to the environment will need to be mutually agreed between DSHS and Vendor. The DSHS environment will be installed and managed within data centers in the United States 48 contiguous states.	Must Have	New
GEN-15	The DSHS environments may be deployed into a Virtual Private Cloud (VPC) configuration at minimum matching the AWS DOD requirements (http://aws.amazon.com/compliance/dod/). Any changes to the environment will need to be mutually agreed between DSHS and Vendor. The DSHS environment will be installed and managed within data centers in the United States 48 contiguous states.	Nice to Have	New
GEN-16	Upon request Vendor will participate in DSHS' annual four (4) hour privacy training program.	Must Have	New
GEN-17	Site Penetration Testing: prior to launch of the new environment Vendor will work with DSHS to schedule a site penetration and vulnerability test. Vendor additionally will schedule one (1) site penetration test annually with DSHS upon request.	Must Have	New
GEN-18	System response time when navigating from one screen to the next (save/refresh rate) must be less than 4 seconds.	Must Have	Existing
GEN-19	System response for a requested transaction must be less than 4 seconds.	Must Have	Existing
GEN-20	System response time for generating a report must be less than 3 minutes.	Must Have	Existing
GEN-21	The Vendor's help desk center must be hosted and managed within in the United States 48 contiguous states.	Must Have	New

2. Access Controls

Req ID	Requirement Description	Priority	Existing or New
ACC-1	Vendor staff managing the hosting environment has zero knowledge of the backend architecture.	Must Have	New
ACC-2	Physical access is strictly controlled both at the perimeter and at building ingress points by professional security staff utilizing video surveillance, intrusion detection systems, and other electronic means.	Must Have	New

Req ID	Requirement Description	Priority	Existing or New
ACC-3	Vendor only provides data center access and information to employees and contractors who have a legitimate business need for such privileges. When an employee no longer has a business need for these privileges, his or her access is immediately revoked, even if they continue to be an employee of the Vendor.	Must Have	New
ACC-4	All access is logged and monitored	Must Have	New
ACC-5	❖ Separation of Duties ➢ Employees with physical access don't have logical privileges ➢ Leads to 'Zero Access Security Policy' ➢ Hosting Data Center Administrators cannot log into customer's service instances	Must Have	New
ACC-6	At DSHS's request, Vendor will provide DSHS with a list of Vendor personnel who are authorized to have full database administrator (DBA) access rights to the DSHS's hosted instances and will notify DSHS of any staff changes. All Vendor employees will be bound by an agreement of confidentiality with the company that prohibits disclosure or use of any DSHS data.	Must Have	New
ACC-7	An access control list (white list) of IP addresses would be stored so DSHS employees and other HHSC team members could view the Intranet.	Must Have	New
ACC-8	DSHS will archive logs locally outside of the Vendor's environment.	Must Have	New
ACC-9	Only selected Vendor technical support staff and database administrators will have access to the DSHS's hosted instances. Passwords will be immediately changed in the event of a staff change or resignation.	Must Have	New
ACC-10	The access control logs need to be open for DSHS to audit.	Must Have	New

3. Security Controls

Req ID	Requirement Description	Priority	Existing or New
SEC-1	Robust perimeter controls	Must Have	New

Req ID	Requirement Description	Priority	Existing or New
SEC-2	❖ Unique security credentials ➢ Access keys ➢ Login/Password, Enforce password complexity ➢ Multifactor Authentication device (e.g. security token) ➢ Security Token Service	Must Have	New
SEC-3	❖ Virtual Memory and Storage ➢ Proprietary disk management prevents one instance from reading the disk contents of another ➢ Disk is wiped upon creation ➢ Disks can be encrypted by the DSHS for added layer of security	Must Have	New
SEC-4	❖ For data in motion and at rest, the data center must follow these requirements: ➢ Use Transport Layer Security (TLS) encryption or equivalent ➢ Use AES 2 compliant encryption	Must Have	New
SEC-5	Vendor is responsible for continuously monitoring the System to detect and identify potential and actual security risks.	Must Have	New
SEC-6	Reporting of Security Breach and Mitigation – Vendor shall within the first clock hour after discovery, initially report to DSHS's Privacy and Security Officers via email at HIPAA.Privacy@dshs.state.tx.us and ITSecurityTeam@dshs.state.tx.us, respectively , and report to the DSHS contact person in the notices section of this Agreement, all available information about the discovery of an event or a breach of the privacy or security of DSHS data which is not in compliance with the terms of this Agreement or laws applicable to confidential information And shall mitigate, to the extent practicable, any harmful effect that is known to Vendor of an unauthorized use or disclosure of confidential information by Vendor.	Must Have	New
SEC-7	Distributed Denial Of Service (DDoS) Attacks mitigation techniques are used by the Vendor. Additionally, Vendor's networks are multi-homed across a number of providers to achieve Internet access diversity.	Must Have	New
SEC-8	Vendor instances cannot send spoofed network traffic. The Vendor-controlled, host-based firewall infrastructure will not permit an instance to send traffic with a source IP or MAC address other than its own.	Must Have	New

Req ID	Requirement Description	Priority	Existing or New
SEC-9	All DSHS data is confidential, and selected data (such as social security numbers) is tokenized or encrypted so that that the vendor never has access to the data.	Must Have	New
SEC-10	The Vendor agrees to electronic and physical data segregation.	Must Have	New
SEC-11	Vendor must conform to cloud security standards, including the Shared Assessments Program, Common Assurance Maturity Model, Cloud Security Alliance, and FedRAMP.	Must Have	New
SEC-12	Vendor will maintain the DSHS websites within a Cloud infrastructure that is in compliance with SSAE 16 SOC 1 and 2.	Must Have	New
SEC-13	Vendor will maintain the DSHS websites within a Cloud infrastructure that is annually certified against ISO 27001,27002,27017,27018, and 27036 security standards.	Must Have	New
SEC-14	❖ Vendor's hosting site must be compliant with the following: ➢ SAS70 Type II ➢ PCI DSS Level 1 ➢ FISMA	Must Have	New
SEC-15	Physical Security – Vendor's internal computer facilities are located in a restricted area which is locked at all times. Employees and any service personnel are required to have authorization from Vendor in order to have access to this area and all access is supervised. All computers that connect to the Hosted System will have password controlled access and all system passwords will be secured and controlled.	Must Have	Existing

4. Business Continuity Planning

Req ID	Requirement Description	Priority	Existing or New
BCP-1	Vendor will provide DSHS a Business Continuity Operation Plan within 30 days of contract execution.	Must Have	New
BCP-2	Vendor's monitoring services are operated remotely to the data centers and in the event of disaster at Vendor's facilities the management and maintenance of the environment will continue. Vendor monitoring services are operated 24x7 and within 3 physical locations.	Must Have	New
BCP-3	Vendor will replicate production data on a Vendor, DSHS mutually agreed upon schedule. The data will be replicated to another availability zone.	Must Have	New
BCP-4	Vendor will provide a full back up to DSHS annually at the completion of a twelve (12) month term.	Must Have	New

Req ID	Requirement Description	Priority	Existing or New
BCP-5	Vendor to perform a local backup and restore process every six (6) month.	Must Have	New
BCP-6	Recovery Point Objective (RPO): In the case of a complete outage to the Vendor's availability zone, Vendor will maintain a 24 hour RPO in compliance with the daily (24 hour) back plan.	Must Have	New
BCP-7	Recovery Time Objective (RTO): In the case of a complete outage to the Vendor availability zone, Vendor will maintain a 12 hour RTO to have the production environments live within an alternative Vendor availability zone.	Must Have	New
BCP-8	The Business Continuity Operating Plan needs to be updated as needed and reviewed\updated at least once a year by the Vendor.	Must Have	New

5. Environmental Controls

Req ID	Requirement Description	Priority	Existing or New
ENV-1	Automatic fire detection and suppression equipment has been installed to reduce risk. The fire detection system utilizes smoke detection sensors in all data center environments, mechanical and electrical infrastructure spaces, chiller rooms and generator equipment rooms. These areas are protected by either wet-pipe, double-interlocked pre-action or gaseous sprinkler systems.	Must Have	New
ENV-2	The data center electrical power systems are designed to be fully redundant and maintainable without impact to operations, 24 hours a day, and seven days a week. Uninterruptible Power Supply (UPS) units provide back-up power in the event of an electrical failure for critical and essential loads in the facility. Data centers use generators to provide back-up power for the entire facility.	Must Have	New
ENV-3	Climate control is required to maintain a constant operating temperature for servers and other hardware, which prevents overheating and reduces the possibility of service outages. Data centers are conditioned to maintain atmospheric conditions at optimal levels. Personnel and systems monitor and control temperature and humidity at appropriate levels.	Must Have	New
ENV-4	Vendor monitors electrical, mechanical and life support systems and equipment so that any issues are immediately identified. Preventative maintenance is performed to maintain the continued operability of equipment.	Must Have	New

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Attachment N – Imaging Solution

VERSION: 1.0 **REVISION DATE: 07/17/2015**

1. General Requirements

All references to "the system" in this attachment refer to the Vendor imaging solution.

Req ID	Requirement Description	Priority	Existing or New
GEN-1	The system shall provide access to imaged documents directly from the customized COTS product, so that users are not made aware that they are making calls to or accessing another system (the imaging system).	Must Have	New
GEN-2	The system shall provide the ability to specify as a default file format of .tiff for all saved image, as defined in the U.S. National Archives and Records Administration - Electronic Access Project Scanning and File Format Matrix (http://www.archives.gov/preservation/technical/guidelines-matrix.pdf).	Must Have	Existing
GEN-3	The system shall have a mechanism for downloading and saving to other media, images stored in the document repository. Such actions must be fully auditable with an accurate history of what was downloaded, when and by whom and for what purpose.	Must Have	New
GEN-4	The system shall have a mechanism for generating and associating metadata with an image stored in the document repository.	Must Have	New
GEN-5	The system shall have a mechanism for modifying document metadata, including comments, with the exception of a subset of metadata created by the imaging system, such as Publisher and Published Date.	Must Have	New
GEN-6	The system shall have a mechanism to order the images by any column shown in a list.	Must Have	New
GEN-7	The system shall have a mechanism for adding pages to a published image.	Must Have	New
GEN-8	The system shall have a mechanism for removing pages from a published image.	Must Have	New
GEN-9	The system shall have a mechanism for reordering pages within a published image.	Must Have	New
GEN-10	The system shall provide a capacity to forward images as attachments in PDF format.	Must Have	New
GEN-11	The system shall be able to apply a barcode or similar method for condensing metadata, to be displayed on outgoing correspondence, regardless of whether the image is sent electronically or as a physical copy. When returned, the barcode must be readable to match the document to its record.	Must Have	New
GEN-12	The system shall use OCR capacities to receive and read non-electronic Acknowledgement of Paternity (AOP) forms to identify key information (e.g., parents' information)) that can be used to associate the image with the correct record in instances when the original AOP document was not entered directly into TxEVER.	Must Have	New

Req ID	Requirement Description	Priority	Existing or New
GEN-13	The system shall provide a mechanism for a user to scan and/or upload a digital image to the document repository. This includes an option for entering/editing metadata before the image is submitted.	Must Have	New
GEN-14	The system shall provide a mechanism to scan and upload a large volume (e.g. 100-500 sheets per job) of security paper, read the barcoded document control numbers, and update the security paper inventory without impacting production performance.	Must Have	New
GEN-15	The system must be able to read both ladder and horizontal barcodes.	Must Have	New
GEN-16	The system shall permit users add information to the metadata to identify whether an image meets a requirement. The information becomes part of the image metadata. The user can change the information as required, although only the current status needs to be retained.	Must Have	New
GEN-17	The system shall permit a new revision of an existing image to be matched via metadata to the old image. Both new and any old versions will be “stacked”, so that the user sees the newest version by default but can review the older versions if needed.	Must Have	New
GEN-18	Images shall be indexed according to state file number + year or state file date + prefix that indicate the type of image (e.g., delayed registration).	Must Have	New
GEN-19	Electronically filed birth and death records, amendments, adoptions and paternities done in TxEVER shall transfer an image of the record to the system as part of the electronic process.	Must Have	New
GEN-20	It shall be possible to specify the order the images appear after the records are imaged.	Must Have	New
GEN-21	Authorized users should be able to add a custom watermark to an existing image.	Must Have	New
GEN-22	The system shall have a mechanism to perform a search of all images.	Must Have	New
GEN-23	When searching for an image, an authorized user shall be able to search using multiple search criteria, such as user ID, document type, or other metadata.	Must Have	New

2. Printing Images

Req ID	Requirement Description	Priority	Existing or New
PRT-1	The system shall provide a mechanism for printing stored images. The printing mechanism must protect the desktop security features to prevent fraud. It must be fully auditable with accurate history of who, what, why, when etc.	Must Have	New
PRT-2	Each image shall be separately printable. In other words, it should not be necessary to print all images for a record.	Must Have	New
PRT-3	It shall be possible to print all images at one time or print an image individually.	Must Have	New
PRT-4	It shall be possible to print pre-determined areas of the image, to exclude margins and medical information.	Must Have	New
PRT-5	The image shall be resizable, so that it fits onto the certificate paper	Must Have	New
PRT-6	When there are amendments to a record, the user shall be able to electronically position the primary record's image and any amendment images in ascending date order on the same page, so that it can be printed onto a single certificate paper.	Must Have	New
PRT-7	The process that prevents issuance of a record shall extend to printing from the corresponding image.	Must Have	New

3. Retention

Req ID	Requirement Description	Priority	Existing or New
RET-1	The system shall have a mechanism for defining image retention rules. A retention rule is used to determine if an image must still be maintained or if it can be deleted. A rule is assigned to a document type corresponding to the image, and a document type can have only one rule.	Must Have	New
RET-2	The system must conform to all State retention rules.	Must Have	New
RET-3	The system must allow for an authorized user to override retention rules on specific images of documents and/or document types.	Must Have	New
RET-4	The imaging system needs to be able to produce a purge report that conforms to State records retention forms for destruction of images.	Must Have	New
RET-5	The system will include functionality to recall images that have been archived until the end of the retention schedule.	Must Have	New

4. Scanned Images

Req ID	Requirement Description	Priority	Existing or New
SCAN-1	The system shall have a mechanism for scanning documents. Scanned images are not immediately added to the document repository; after the document is completely scanned, the image must be submitted for approval by a specially authorized user to be associated with a record and added to the document repository. The system will log who scanned the document, who reviewed and modified it.	Must Have	New
SCAN-2	The system shall have a mechanism for removing all pages from a scanned-in image and rescanning before they are submitted.	Must Have	New
SCAN-3	The system shall have a mechanism for viewing all pages of an image one at a time before submitting. In addition, controls for zooming in and out shall be available.	Must Have	New
SCAN-4	The system shall have a mechanism for rotating an image clockwise or counterclockwise. The rotation can be applied multiple times to an image. The final orientation of all images will be maintained when the image is submitted to the document repository.	Must Have	New
SCAN-5	The system shall have a mechanism for rescanning a page within an image, effectively replacing the scanned page	Must Have	New
SCAN-6	For each scan operation, system shall have an option to scan from a duplexed or single-sided original.	Must Have	New
SCAN-7	The system shall have an option to add new scanned pages to a previously scanned image. This will allow for a document to be scanned in multiple steps which is useful for documents that have some pages that are single-sided and other that are double-sided.	Must Have	New
SCAN-8	The system shall have a mechanism for reordering pages within an image (distinct from a published image).	Must Have	New
SCAN-9	The system shall have a mechanism for removing pages from an image (distinct from a published image).	Must Have	New
SCAN-10	The system must be able to scan and read ladder and horizontal barcodes.	Must Have	New
SCAN-11	The system shall have a mechanism for submitting images to the document repository. This includes a mechanism for entering metadata before the image is submitted.	Must Have	New

5. Sealed Images

Req ID	Requirement Description	Priority	Existing or New
SEAL-1	Images of sealed images can only be viewed and/or printed.by authorized users.	Must Have	New
SEAL-2	System must provide auditing of all access to sealed images.	Must Have	New
SEAL-3	System must provide ability to alert management when sealed images are accessed.	Must Have	New
SEAL-4	Images become sealed if an adoption or paternity is filed for that record. The filing of the adoption or paternity shall automatically move all associated images for that record to sealed status.	Must Have	New

6. Security

Req ID	Requirement Description	Priority	Existing or New
SEC-1	The system shall have a mechanism for specially authorized users to delete published documents from the document repository. When a document is deleted in this manner, the system shall remove the image and all metadata associated with the document.	Must Have	New
SEC-2	The system shall record the user who added a comment to the document and the date and time the comment was added.	Must Have	New
SEC-3	The system shall record the user who modified the metadata of a published document, the date and time the modification occurred, and the old value.	Must Have	New
SEC-4	The system shall record the user who modified a published document and the date and time the modification occurred. NOTE: Modifications include anything that changes the document image, including but not limited to adding pages, removing pages, and rotating pages.	Must Have	New
SEC-5	The system shall provide compliance with Section 508 Accessibility Requirements. See Attachment B – Security Requirements.	Must Have	New
SEC-6	The system shall provide compliance and conformance with the Texas HHSC and DSHS security standards and guidelines. See Attachment B – Security Requirements.	Must Have	New
SEC-7	The system will provide audit logging of all actions taken on images and associated metadata. The log shall track the user ID, the index of the viewed or printed record, and the date and time of viewing or printing	Must Have	New

Req ID	Requirement Description	Priority	Existing or New
SEC-8	The capabilities associated with all requirements shall be tied to security rights that can be assigned to a user, a group of users, or multiple groups.	Must Have	New
SEC-9	Users who have the appropriate permissions shall be able to delete images from the system.	Must Have	New
SEC-10	The Office of Inspector General fraud department is responsible for adding the date of death to images of birth certificates. . This date shall be saved and be a permanent part of the image.	Must Have	New

7. User Interface

Req ID	Requirement Description	Priority	Existing or New
UI-1	The system shall provide controls to the user to zoom, scroll, and page within an imaged document.	Must Have	New
UI-2	The system shall provide a capacity for users to make textual comments (annotations) on or regarding an image. The system will provide users with the capability to edit or delete those comments.	Must Have	New
UI-3	The system shall have a mechanism for rotating an image clockwise or counterclockwise. The rotation can be applied multiple times to a page. The published document will be modified so that the final orientation of all pages will be maintained.	Must Have	New
UI-4	The system shall provide a feature to allow redactions, edits, censors, and / or other obscure (part of a text) for legal or security purposes.	Must Have	New
UI-5	There shall be an indicator of the number of images associated with a record.	Must Have	New
UI-6	The user shall be able to navigate forward and backward through the images.	Must Have	New

8. Workflow

Req ID	Requirement Description	Priority	Existing or New
WRF-1	The system shall have features to allow “work” and / or related content to rout through the workflow. Different methods of routing such as rules-based routing, sequential routing and parallel routing should be identified.	Must Have	New

Req ID	Requirement Description	Priority	Existing or New
WRF-2	The system shall have a mechanism to allow the workflow to be graphically designed and have workflow development tools such as library of starter objects, workflow templates, and a test environment.	Must Have	New
WRF-3	The system shall have an environment for “work” to be received and distributed.	Must Have	New

9. Image Migration Plan

Req ID	Requirement Description	Priority	Existing or New
IMP-1	Vendor must develop a DSHS approved image migration plan. The plan will describe the iterative process used and the acceptance criteria at the end of all iterations.	Must Have	New
IMP-2	Image migration must be synchronized with the migration of TER data into TxEVER, such that the images will be available through the new imaging system and customized COTS product.	Must Have	New
IMP-3	Vendor must develop an image migration plan including mapping specifications and time estimates for image migration. This plan must be approved by DSHS.	Must Have	New
IMP-4	Vendor must create and maintain a Risk Mitigation Plan for image migration. This plan must be reviewed with DSHS on a DSHS agreed upon schedule.	Must Have	New
IMP-5	Vendor must develop a DSHS approved image migration test plan.	Must Have	New
IMP-6	Vendor must develop image migration architecture.	Must Have	New
IMP-7	Vendor must create a migration fallback plan for restoring the previous iteration migration.	Must Have	New
IMP-8	Working with DSHS VSU the Vendor will provide a total number of images targeted for migration, and an end-state count of images migrated, and an accounting of any discrepancies. .	Must Have	New
IMP-9	Vendor must describe any limitations or constraints that have a significant impact on the image migration effort.	Must Have	New
IMP-10	Vendor must gather information about the storage server environment and applications (list and/or drawing).	Must Have	New
IMP-11	Vendor must define hardware requirements for all environments: development, test, and production.	Must Have	New
IMP-12	Vendor must create a DSHS approved interface design specification.	Must Have	New
IMP-13	Vendor must define a QA reporting strategy and associated technology for the image migration phase.	Must Have	New
IMP-14	Vendor must define an ongoing image quality monitoring solution.	Must Have	New

Req ID	Requirement Description	Priority	Existing or New
IMP-15	Vendor must identify and describe any part of the migration process that will be performed manually.	Must Have	New
IMP-16	Vendor must identify and describe any custom-developed migration programs that will be needed, and associated performance tuning.	Must Have	New
IMP-17	Vendor must define the strategy to keep TxEVER and TER in sync during the pilot testing and if required during the deployment phase of the project.	Must Have	New
IMP-18	Vendor must establish a migration management team comprised of vendor staff and DSHS staff.	Must Have	New
IMP-19	Vendor must establish a technical migration team comprised of vendor staff and DSHS staff. Vendor must define the staffing approach.	Must Have	New
IMP-20	Vendor must describe how the source and target data baselines will be created and managed prior to any manipulation or migration. Also describe backups that may occur incrementally while stepping through the process of preparing, moving, and manipulating the images during migration.	Must Have	New
IMP-21	Vendor will determine high-level volume metrics and create a high-level scoping report.	Must Have	New
IMP-22	Vendor must describe security and privacy controls required for the migration process.	Must Have	New

10. Image Migration Process

Req ID	Requirement Description	Priority	Existing or New
PRO-1	Vendor must identify if the migration process will be implemented in phases or stages, and if so, identify which components will undergo migration in each phase.	Must Have	New
PRO-2	Vendor must work with the DSHS availability and production schedules.	Must Have	New
PRO-3	Vendor must schedule a pre-migration rehearsal that includes all the members of the migration team and a data sampling that will enable the application groups to appropriately conduct the pre- and post-migration verification process.	Must Have	New
PRO-4	Vendor must work with DSHS and the existing vendor to create an image migration process to migrate images from the existing system, FileNet, to the new system.	Must Have	New
PRO-5	Each image migration process must produce an exception report of orphaned images or images marked as void. These reports will be provided to DSHS to resolve.	Must Have	New
PRO-6	Each image migration process must prevent duplication of images in the target component. The vendor will produce an exception report of these duplicates for DSHS to resolve.	Must Have	New

Req ID	Requirement Description	Priority	Existing or New
PRO-7	Each image migration process must have the ability to create exception reports for any image that does not migrate.	Must Have	New
PRO-8	Vendor must develop a DSHS approved image migration QA process.	Must Have	New
PRO-9	DSHS prefers the vendor to use automated migration processes instead of manual methods.	Must Have	New
PRO-10	Vendor must describe the process to restore the source images if the need to revert to a previous back-up is identified at any point during the migration process.	Must Have	New
PRO-11	During the image migration phase, the Vendor will establish a migration status meeting following a DSHS specified schedule.	Must Have	New
PRO-12	Vendor must follow HHS data security guidelines.	Must Have	New
PRO-13	Vendor must create a gap-analysis process for measuring planned vs actual progress.	Must Have	New
PRO-14	On a DSHS prescribed schedule (specifying lead time of the event) the vendor will inform the security and compliance groups about the migration. Using this schedule DSHS will notify stakeholders of the date, time and duration of the migration process.	Must Have	New
PRO-15	Vendor must notify DSHS that the migration is complete and decommissioning the legacy data is recommended.	Must Have	New

11. Image Migration Execution

Req ID	Requirement Description	Priority	Existing or New
IME-1	Vendor will participate in the project close-out meeting and contribute to the details learned during the image migration phase.	Must Have	New
IME-2	Vendor must utilize a migration planning checklist to ensure that all the pre-migration planning steps have been executed.	Must Have	New
IME-3	Vendor must perform backups of source data before migration.	Must Have	New
IME-4	Vendor must test the migration with a mirror of the production environment.	Must Have	New
IME-5	Vendor must run a pre-validation test.	Must Have	New
IME-6	Vendor must create migration stats reports.	Must Have	New
IME-7	Vendor will run a post-validation test.	Must Have	New

12. Image Quality Requirements

Req ID	Requirement Description	Priority	Existing or New
IQR-1	Capture once, use many times. The creation of high quality images is critical and should contain all information from the original record.	Must Have	New
IQR-2	Create a faithful reproduction of the original record so the historical, accuracy and value of the record is not diminished.	Must Have	New
IQR-3	Image from the earliest generation practical. Because each generation of a document loses some detail, always use the earliest generation of the original document that is practical to use. For example, imaging from negatives rather than prints or the original document rather than microfilm/microfiche or photocopies is preferable.	Must Have	New

13. Vendor must minimally meet the following imaging quality requirements:

BEST PRACTICE STANDARDS FOR IMAGED DOCUMENTS			
MEDIA	**SCAN FORMAT**	***PRESERVATION IMAGE**	**ACCESS IMAGE**
Printed Text	16-bit bitonal	TIFF/PDF/PDFA Uncompressed Resolution: 300 ppi	PDF/PDFA/JPEG Medium quality compression Resolution: 200 ppi (bitonal) Resolution (PDF Searchable): 300 ppi (bitonal) Resized images to 1024 pixels across long dimension.
Handwritten Text	16-bit grayscale or 24-bit color	TIFF/PDF/PDFA Uncompressed Resolution: 300 ppi	PDF/PDFA/JPEG Medium quality compression Resolution: 200 ppi (grayscale) Resized images to 1024 pixels across long dimension.
B/W Photo	16-bit grayscale or 24-bit color	TIFF Uncompressed Resolution: 400 ppi	PDF/PDFA/JPEG Medium quality compression Resolution: 200 ppi (grayscale) or color Resized images to 1024 pixels across long dimension.
Color Photo, Color Slide B/W Side, Map Illustration, etc.	24-bit color	TIFF Uncompressed Resolution: 400 ppi	PDF/PDFA/JPEG Medium quality compression Resolution: color Resized images to 1024 pixels across long dimension.

BEST PRACTICE STANDARDS FOR IMAGED DOCUMENTS			
MEDIA	**SCAN FORMAT**	***PRESERVATION IMAGE**	**ACCESS IMAGE**
3-D Artifact	24-bit color	TIFF/PDF/PDFA Uncompressed Resolution: 400 ppi	PDF/PDFA/JPEG Medium quality compression Resolution: color Resized images to 1024 pixels across long dimension.
Newspapers, brochures, etc.	16-bit grayscale or 24-bit color	TIFF/PDF/PDFA Uncompressed Resolution: 300 ppi	PDF/PDFA/JPEG Medium quality compression Resolution: 200 ppi (grayscale) or color Resized images to 1024 pixels across long dimension.

*Preservation images should be considered for archival (R) records and/or records with an electronic retention greater than ten (10) years.

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Attachment O – Respondent Check List

Attachment O
Respondent Check List

Form Number/Description			Form Provided	Location of Document in Respondent Packet
GENERAL				
1	Submit one original		☐YES	
2	Submit 10 copies		☐YES	
3	Submit one electronic copy (must match hard copy)		☐YES	
Part I Business Proposal				
1	Executive Summary		☐YES	
2	Corporate Background and Experience		☐YES	
3	Qualifications of Personnel		☐YES	
4	Resumes		☐YES	
5	Financial Capacity		☐YES	
6	Corporate Guarantee		☐YES	
7	Plans and Approaches		☐YES	
8	Proposed Remedies		☐YES	
9	Value-Added Benefits		☐YES	
10	Assumptions		☐YES	
11	HUB Subcontracting Plan		☐YES	
12	Information Security and Privacy Initial Inquiry (SPI)		☐YES	
13	Intentionally Left Blank			
14	Certifications and Other Required Forms			
	A	Child Support Certification	☐YES	
	B	Certification - Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion for Covered Contracts	☐YES	
	C	Certification - Regarding Federal Lobbying	☐YES	
	D	Nondisclosure and Procurement Integrity Statement	☐YES	
	E	Required Certifications - Certification Letter	☐YES	
	F	Respondent Information and Disclosures	☐YES	
	G	Anti-Trust Certifications	☐YES	
	H	References from three state registrars where the COTS product is currently implemented	☐YES	

	Form Number/Description	Form Provided		Location of Document in Respondent Packet
Part 2 Technical Proposal				
1	Section 1 Technology Architecture	☐**YES**		
2	Section 2 System Availability and Capacity	☐**YES**		
3	Section 3 Software and Hardware Components	☐**YES**		
4	Section 4 System Integration	☐**YES**		
5	Section 5 System Administration, Support and Maintenance	☐**YES**		
6	Section 6 System Security and Disaster Recovery	☐**YES**		
7	Section 7 Performance Monitoring and Management	☐**YES**		
8	Section 8 Value-added Benefits	☐**YES**		
9	Section 9 Assumptions	☐**YES**		
10.	Requirements for Compliance Checklist	☐**YES**		
Part 3 Cost Proposal				
1	Cost Proposal - Schedule 1	☐**YES**	☐**NO**	
2	Cost Proposal - Schedule 2	☐**YES**	☐**NO**	
3	Assumptions			
4	Alternate 1 - Imaging Services	☐**YES**	☐**NO**	
5	Alternate 2 - Hosting Services	☐**YES**	☐**NO**	
6	Alternate 3 - COTS Product plus Imaging Soluton and Hosting	☐**YES**	☐**NO**	

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Attachment P – Vendor Reference Questionnaire

For Reference Only

VERSION: 1.0 **REVISION DATE: 08/19/2015**

Commercial Off-the-Shelf Vital Records System
Vendor Reference Questionnaire

Vendor Name:	
Reference Company Name:	Reference Phone Number:
Reference Point of Contact:	Reference e-mail:

The above-referenced vendor is responding to the State of Texas Department of State Health Services Request for Proposal and is using you as a reference for their Vital Records System

Check all that is part of this system:

- ☐ Birth
- ☐ Death
- ☐ Fetal Death
- ☐ Marriage
- ☐ Divorce
- ☐ Suits Affecting Parent / Child Relationships
- ☐ Adoption Registry
- ☐ Paternity Registry
- ☐ Induced Termination of Pregnancy Reports

DESCRIPTION	YES	NO
Vendor stayed on planned schedule, hitting major milestones		
Vendor delivered all the agreed upon scope		
Vendor identified risks and managed those risk appropriately		
Vendor provided quality customer service during implementation and during production of the system		
How long you have contracted with this Vendor. _____ (years) ___ (months)		
How many change orders were issued before the go live date of the system.		
Additional Comments:		

FOR REFERENCE ONLY

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Attachment Q – Vendor Demonstration Script

VERSION: 1.0 **REVISION DATE: 09/08/2015**

All elements of the Proposer's demonstration must represent functionality found in the vendor's baseline COTS offering, as proposed in response to this RFP. Modifications made to the baseline COTS system for the purpose of demonstration will not be considered.

1. Vendor Demonstration Agenda

1.1 General Information Session – One hour maximum

1. Introduction of the Vendor's key personnel and their project role
2. Describe company's qualifications and experience, including the company's financial ability to undertake a project the size and scope of TxEVER.
3. Describe the management approach
4. Describe the technical approach
5. Describe the project schedule / timeline

1.2 Software Demonstration

1. Describe General System Features.
2. Provide a demonstration of the software's ability to meet the State's business requirements for birth registration.
3. Provide a demonstration of the software's ability to meet the State's business requirements for death registration.
4. Provide a demonstration of the software's ability to meet the State's business requirements for marriage registration.
5. Provide a demonstration of the software's ability to meet the State's business requirements for divorce registration.
6. Provide a demonstration of the software's ability to meet the State's business requirements for ITOP reporting.
7. Provide a demonstration of the software's ability to meet the State's business requirements for Back Office functionality.
8. Provide a demonstration of the software's administrative functions.
9. Provide a demonstration of the software's ability to meet national data collection and reporting functions.
10. Brief, explanation of how the vendor will complete initial and ongoing data conversion from the legacy systems.
11. Brief, explanation of how the vendor's COTS product will interface with the imaging solution.
12. Demonstrate any standard interface functionalities within the core system, i.e.: Social Security Administration, STEVE, EVVE.
13. Demonstrate any other Features / Functionalities.
14. Conclusion of Software Demonstration session / Wrap-up

1.3 Mandatory Presentation Criteria

1. Proposing Vendor may bring no more than four (4) staff members to the Presentation.
2. Included in the Vendor staff members attending the Presentation should be the Key Personnel who are being nominated to develop and implement the TxEVER solution for the State of Texas.
3. The Vendor Demonstration shall begin at 9:00 a.m. and must be completed no later than 4:30 p.m. Adequate breaks and a 75 minute lunch period (if necessary) must be included.
4. The order in which the vendor should present its software demonstration is outlined below in section 2.2 Part 2 Software Demonstration. Depending on the system being demonstrated, it may make more sense if it is presented in a different order. Any variance from the order outlined in 2.2 must be submitted in

writing to the State at least three days prior to the scheduled presentation and must include all the elements as described in 2.2.

1.4 Mandatory Presentation Equipment Requirements

The State will provide the following equipment:

1. Laptop computer connected to a high-speed Internet connection
2. Video Projector
3. Projection screen
4. Flipchart with flipchart paper and pens.

In the event that the Proposer requires an Internet connection for the Oral Presentation/Software Demonstration, the State prefers that the Proposer use a State-provided laptop. <u>In this case, the Proposer should contact the State at least one (1) week in advance of the first day of the demo to confirm that the Proposer will use a State-supplied laptop.</u> Regardless of whether the Proposer chooses to use State- or Vendor-provided laptop(s) for the demonstration, the Proposer must meet with the State at a mutually agreeable time before the start of the Proposer's demonstration, at the State's demonstration site, to test the equipment in the room.

Note that there will not be a printer available for the demonstration. If part of the demonstration process is to demonstrate a report, the vendor may generate the report for on-screen viewing.

2. Mandatory Presentation Topics

2.1 Part 1 – General Oral Presentation – One hour maximum

Please note that the audience / evaluators for the Oral Presentation will be State personnel who will be managing the TxEVER project and key State functional areas. These are personnel who will be interfacing primarily with the Vendor's Project Management staff on a daily basis, as well as the subject matter experts with regards to the State's Information Technology standards and requirements. This portion of the presentation is limited to one hour.

2.1.1 Introduction of TxEVER Key Personnel and their Project Roles

1. The assigned Project Manager shall introduce the Vendor's Key Personnel.
2. Provide a <u>brief</u> overview of Key Personnel qualifications and experience with projects of the size and complexity of a TxEVER project.

2.1.2 Describe Company's Qualifications and Experience

1. Describe the Vendor's credentials for performing a development and implementation of a vital records system.
2. Describe the Vendor's process and procedures that ensure high-quality performance.
3. Describe the Vendor's quality recognition and certifications awarded (prime only).
4. Provide references from other states for on-going projects and / or projects completed within the past 5 years of similar size and complexity.

2.1.3 Describe the Management Approach

1. Provide an overview of proposed staffing for the project, including the proposed organizational chart, key roles and responsibilities, including the staffing model for implementation.
2. Discuss your project management methodology.

2.1.4 Describe the Technical Approach

1. Describe your proposed technical approach.
2. Provide a brief overview of how the proposed system would be deployed in the most cost-effective, efficient manner and be fully compliant with the State's Architectural Standards.
3. Describe your approach to meeting Security Standards to include at a minimum the following:

a. Confidentiality, Integrity and Availability of Application and Data
b. Application Audit Capability
c. Intrusion Detection / Prevention
d. Placement of Firewalls
e. Other Measures to Provide Defense in Depth

2.1.5 Describe the Project Schedule / Timeline

1. Provide an overview of the proposed work plan.

2.1.6 Conclusion (this is a non-score item)

1. Summarize your proposal.

2.2 Part 2 – Software Demonstration

Please note that the audience / evaluators for the Software Demonstration will be business area functional supervisors / key users of the State's current system which TxEVER will replace. These are personnel who are most familiar with business requirements for a TxEVER solution. This section of the presentation shall be completed by 4:30 p.m. allowing for adequate breaks and a 75 minute recess for lunch. Lunch will not be provided by the State. Several dining venues are within short driving distance.

2.2.1 Introduction of Vendor Key Staff conducting the Software Demonstration

1. The assigned Project Manager shall introduce the software demonstration team.
2. Provide an overview of their qualifications and experience with projects of the size and complexity of a TxEVER project.

2.2.2 Demonstrate and / or Describe General System Features

1. Provide a general overview of system features.
2. Demonstrate software's user access, navigation and role based functionalities.

3. Demonstrate / describe how the automated web-based system displays a message box that will contain a tip or system usage guideline upon user login.
4. Demonstrate how the automated web-based system provides a user interface that is consistent, easy to navigate and representative of the business workflow.
5. Demonstrate / describe how the automated web-based system provides a robust search function to allow users to search the database for records, users, organizations, or providers.
6. Demonstrate describe how the automated web-based system provides record-based activity checklists (to-do lists) to assist in prompting the users in the completion of required record activities according to business rules.
7. Demonstrate how the automated web-based system provides a robust and comprehensive online help system accessible from any point in the application.
8. Demonstrate how the automated web-based system validates input (front-end edits) for completeness and displays error messages appropriately across all functions indicating to the user where within the application they would need to go to correct the error.
9. Demonstrate transaction speed and page refresh speed.
10. Demonstrate messaging between Stakeholders and between Stakeholders and the State
11. Demonstrate work queues, including status indicators and system alerts (for things like records approaching registration deadlines, records returned for correction, etc…).
12. Demonstrate work allocation, both automated allocation of requests and any management tools for reallocation of request issues.
13. Demonstrate auditing for both issuance and registration.
14. Demonstrate/ describe error processing and corrections by stakeholders / State
15. Demonstrate how the system facilitates corrections to records after the NCHS edits have been run

2.2.3 Provide a demonstration of the Birth Registration functionality

1. Starting (at a facility), Processing and Registering of a fully electronic birth record.
2. Demonstrate how the acknowledgement of paternity process will work both completed forms and partially completed forms

2.2.4 Provide a demonstration of the Death Registration functionality

1. Starting (at a funeral home), Processing and Registering of a fully electronic death record at the State and Local Registrar.
2. Starting (at a medical certifier), Processing and Registering of a fully electronic death record at the State and Local Registrar.
3. Processing drop to paper death records
4. Birth / Death cross match
5. Creation at a facility and Registration at the State of a fetal death record
6. Facilitate defining cause of death / manner of death

2.2.5 Provide a demonstration of the Back Office functionality

1. Processing of out of State records, Inter-jurisdictional Data Exchange (fully electronic and paper)
2. Processing of birth and death amendments
3. Processing of adoptions records
4. Processing of surrogacy records
5. Processing of court orders
6. Processing of foreign born records
7. Processing and tracking of requests, including multiple requests in one order, additional payments, use of barcodes.
8. Tracking security paper inventory
9. Automated communication with customers ("We've received your order; your order has been processed, shipped, etc.)
10. Use of security flags (ex: Do Not Issue)

2.2.6 Provide a demonstration of the software's administrative functionality

1. Creating a new user
2. Reestablish / reset user access
3. Core data tables, legal vs statistical
4. Table maintenance, add/delete table
5. Data extracts and imports
6. System generated customer query form letters
7. Ad-hoc back issuance, tracking, security, financial reports

2.2.7 Provide a demonstration of the software's ability to meet national data collection and reporting functions

1. Social Security Enumeration at Birth file
2. Social Security Death file
3. National Death Index file
4. Vital Statistics Cooperative Program file
5. Ad-Hoc statistical reports
6. Management reports
7. Productivity reports
8. Financial reports

2.2.8 Explanation of how the vendor will complete initial and ongoing data conversion from the legacy systems

2.2.9 Explanation of how the vendor's COTS product will interface with the imaging solution.

2.2.10 Demonstrate any standard interface functionalities within the core system, i.e.: Social Security Administration, STEVE.

2.2.11 Explanation of how the solution will comply with emerging Health Information Technology Standards for interoperability, accessibility, and Electronic Health Records.

2.2.12 Demonstrate and / or Describe other Features / Functionalities

1. Marriage
2. Divorce
3. Induced Termination of Pregnancy
4. Paternity Registry
5. Voluntary Adoption Registry