

**From:** [Frazer, Dylan](#)  
**To:** ["Michelle.james@firstdata.com"](mailto:Michelle.james@firstdata.com)  
**Subject:** Response to Public Records Request  
**Date:** Wednesday, September 24, 2014 1:09:00 PM  
**Attachments:** [Gartner FOIA docs.zip](#)

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Dear Michelle:

The Department of Vermont Health Access (DVHA) has conducted a search in response to your September 4, 2014 request for public records made to Buildings and General Services. DVHA was made aware of the request on September 19, 2014. The request was for the following:

- 1) The winning competitor proposal, submitted by Gartner and the scoring sheet for all vendors who competed in response to:
  - RFP Name: RFP Development, Proposal Review, Contract Negotiations
  - RFP number: Unknown
  - Date of RFP: May 2013
- There was no RFP for this contract, as it was done as a sole source. As such, there is no scoring sheet. Please find attached the sole source justification memo along with Gartner's proposal for the contract. The final slide in the proposal has redactions pursuant to 1 V.S.A. § 317(c)(1), as it is contact information for Gartner employees.
- 2) The winning competitor proposal, submitted by Barry Dunn and the scoring sheet for all vendors who competed in response to:
  - RFP Name: IV&V
  - RFP number: Unknown
  - Date of RFP: Unknown
- The MMIS IV&V RFP (#03410-141-15) is still currently out to bid, and a vendor has not yet been selected. Information regarding the RFP is available at this website: <http://dvha.vermont.gov/administration/2013-requests-for-proposals>. Vendor responses and bid materials are confidential but may be subject to disclosure under Vermont's public records law once the resulting contract is finalized. See Template 8, Standard Terms and Conditions paragraph 2.8.

Please be advised that, pursuant to 1 V.S.A. § 318(a)(2), you have the right to appeal the denial of any portion of your request to Mark Larson, Commissioner of DVHA. Feel free to contact me if you have any questions.

Sincerely,

**Dylan Frazer**  
Program Consultant

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### MEMORANDUM

**TO:** Jeb Spaulding; Secretary, Agency of Administration (AOA)

**THRU:** Doug Racine; Secretary, Agency of Human Services (AHS)

**FROM:** Mark Larson; Commissioner, Department of Vermont Health Access (DVHA)  C.O.  M.L.

**DATE:** May 10, 2012

**SUBJECT:** Sole Source Justification for Gartner Consulting Contract # 22013  
Duration: 5/16/2012 – 5/15/2013 Value: \$2,554,500

It has been recognized that current State resources are not adequate to meet the impending federal deadlines for implementation of the Health Insurance Exchange and other related ACA and health care reform projects. To address this issue, AHS Secretary Racine and AoA Secretary Spaulding, in consultation with the Department Information and Innovation (DII), Agency of Human services Information Technology (AHS IT), and DVHA's Division of Health Reform identified the need to engage consulting services to support the design, development and procurement of the components of the AHS Health Services Enterprise portfolio of projects. Because of the federally imposed time constraints for these projects (October 1, 2013 and January 1, 2014), the need to get additional expertise on the ground to support the State of Vermont (SOV) as quickly as possible, and the unique alignment between Gartner and the SOV direction, a decision was made to sole source these services to Gartner, Inc.

Gartner is one of the world's leading information technology research and advisory companies, delivering independent recommendation of available products from multiple vendors technology-related research and consulting services to Chief Information Officers (CIOs) and senior Information Technology (IT) leaders in corporations and government agencies across the United States and worldwide. Not only is Gartner providing assistance to other states currently pursuing Health Insurance Exchange (HIX) and Health Information Exchange (HIE) projects, but they have acquired staff uniquely knowledgeable in the state that the SOV has chosen to follow. Additionally, the State CIO and staff at AHS have previous experience with Gartner, who are widely recognized for their expertise in technology systems planning and procurement processes.

This contract complies with all mandatory provisions of AOA Bulletin 3.5. Funding for this agreement will be covered by Global Commitment to Health appropriations. DVHA looks forward to approval of this agreement.

Approved By:  E-SIGNED by Michael Clasen  
on 2012-May-18 Date: May 18, 2012



## State of Vermont Agency of Human Services

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Proposal for Readiness Assessment, Planning, Requirements, Procurement Support and Quality Assurance Oversight for the Integrated Health and Human Services Program

Engagement Alias 330007970

April 3, 2012



**Frank Petrus**  
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**GARTNER PUBLIC SECTOR CONSULTING**



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## Understanding and Objectives

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## Our Understanding Background

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- The State of Vermont (Vermont) has enacted legislation (Act 48) to create the framework for Green Mountain Care and focuses on -
  - Developing a unified health system by 2017
  - Providing guidance and recommendations for transitioning Vermont's current public and private health care system
- In response to the legislation, Vermont has developed a Blueprint for Health which -
  - Is the State of Vermont's program for integrating a system of health care for patients, improving the health of the overall population, and improving control over health care costs
  - Resides in Agency of Human Services (AHS) and provides guidance for key technology standards
- Related to this Blueprint, AHS has developed
  - A vision for a Person Centered Health Services Enterprise which identifies a number of key organizational capabilities which are enabled by information technologies
  - An aggressive multi-year Health Services Enterprise Roadmap
- The Roadmap focuses on –
  - Efficacy of the Oregon Transfer to Meet Vermont's Requirements
  - Health Services Portfolio Management
  - Core System Components and Shared Services
  - HIX Views – Business Architecture and Requirements
  - Medicaid Enterprise Solution
  - Federal Partnerships and Requirements
  - Shared Data Analytics and Infrastructure

## Our Understanding Constraints and Current Activity

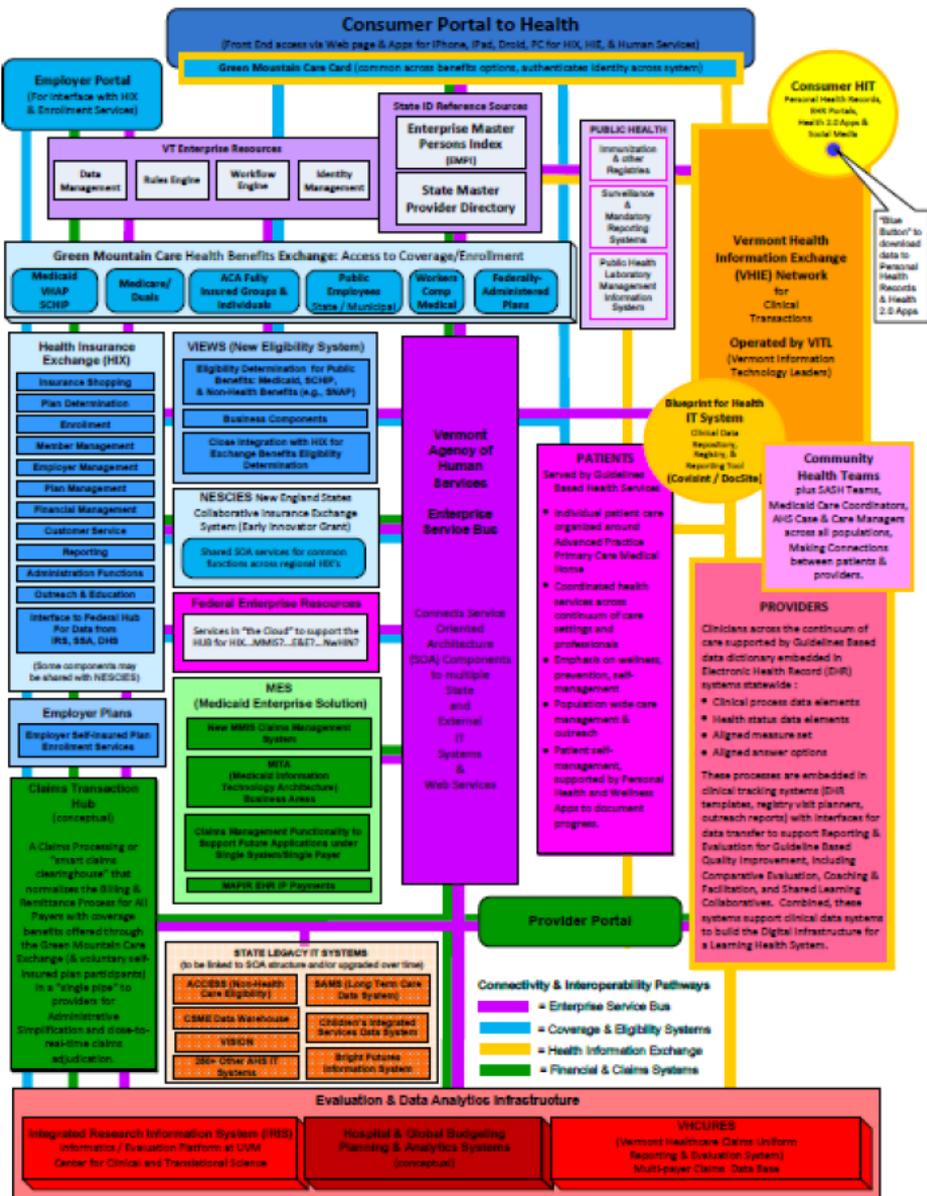
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- The State is facing a number of key constraints in ensuring the State's ability to move forward with the Blueprint for Health and Act 48 in meeting ACA 2014 timeline
  - Ability to leverage enhanced (90/10) Federal Financial Participation (FFP) through compliance with CMS core requirements
  - Limitation on the number and availability of State staff to –
    - Support the project's planning, requirements and procurement efforts
    - Provide oversight for the design, development and implementation of the Human Services Enterprise
    - Have full responsibility for the on-going hosting and maintenance and operations for the envisioned Human Services Enterprise and its key components
- AHS current efforts underway are focusing on initial planning and requirements
- The work is being completed by two vendors supported by a small cadre of staff
- The vendors and their focus include –
  - Wakely Consulting Group developing Functional Requirements for the integration of one-stop eligibility with the HIX requirements
  - Action Mill focusing on high level business process reengineering and change management

# Vermont Has Developed A Vision for A Person Centered Health Services Enterprise

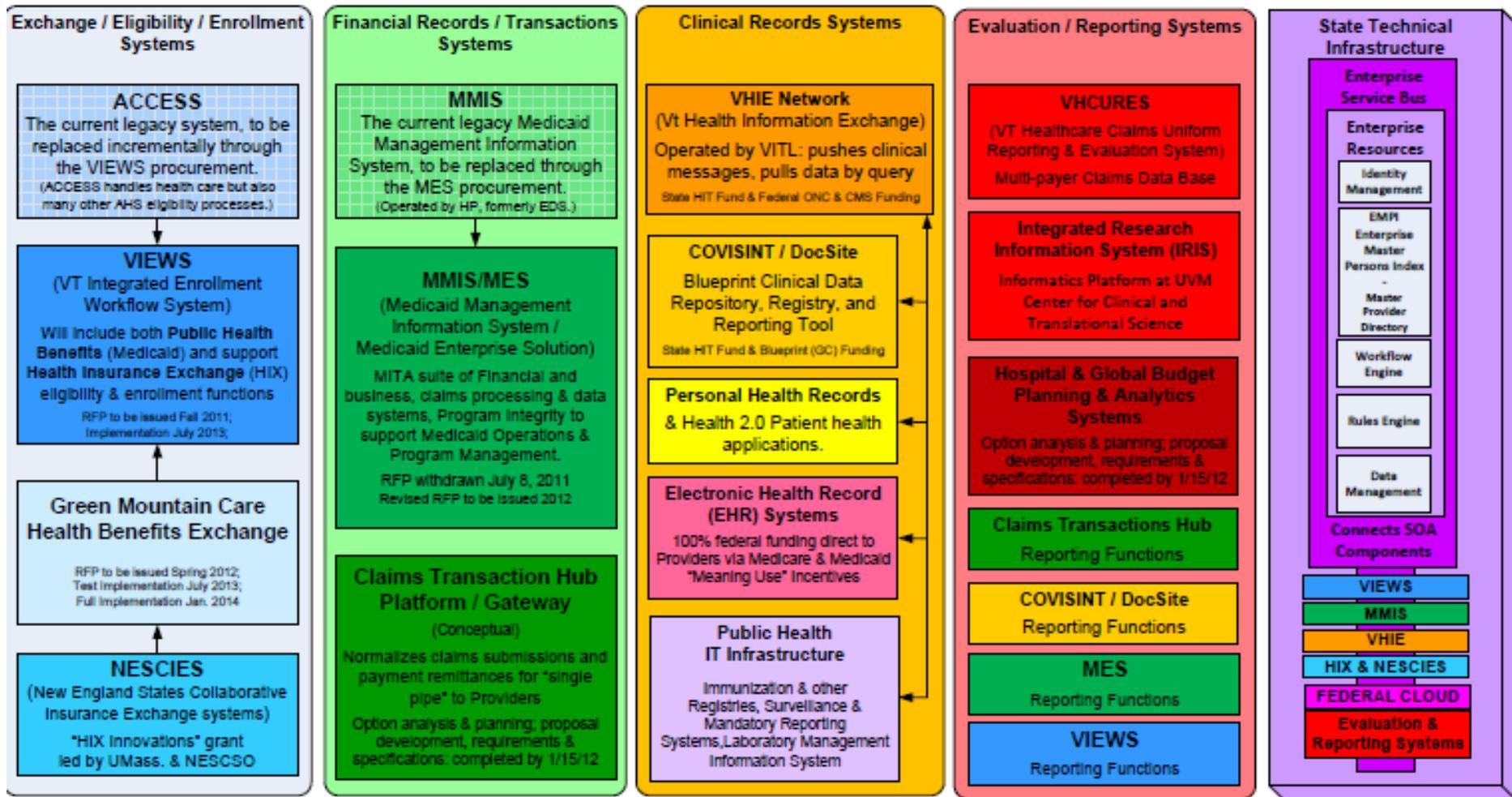
## Providing Key Capabilities

- **Integrated Eligibility Gateway and Rules Engine** – Integration of Medicaid/CHIP and HIX and Other Public Assistance Programs
- **Client / Consumer Look-Up and Query**
  - “White Pages” via Master Person Index
  - Identification of Program Enrollment and Services
- **Manage Referrals**
  - Make Referrals
  - Confirmation of Referral Acceptance
  - As needed, on-going notices regarding referral
- **Service Coordination**
  - Common-Client Service Integration and Prevention of Duplication
  - Outcome Focused Case Management
- **Benefits Issuance**
- **Financial Management**
- **All Claims and Payment**
- **Shared Analytics**
  - “Pushed” – Notices, Alerts, Dashboards and Other Pushed Decision Support Tools and Reports
  - “Pulled” – Accessing Information to Support Activities and Decisions – Standard, Ad Hoc, Parameter Driven and Higher Level Analytical Reporting Capabilities



# Vermont Identified Health Services Enterprise Portfolio

## Guiding the Planning, Requirements and Procurement Strategy



**HEALTH SERVICES ENTERPRISE Portfolio Management**

Health system change / transformation / communication management (Action Mill Technical Assistance contract)

Collaboration with DII - AHS IT

Enterprise Strategic Planning / Oversight -- Health IT Subject Matter Expertise (Gartner TA Contract)

VHIE Evaluation & HIT Systems Integration TA (Simplified Bid RFP in Feb-12)

"All Hands" Mtgs: 2/24 & 2/27 to ID rough cost totals, path to bringing on contractors.

VT has developed an aggressive multi-year Health Services Enterprise Roadmap focusing on –

- Health Services Portfolio Management
- Core System Components and Shared Services
- HIX Views – Business Architecture and Requirements
- Medicaid Enterprise Solution
- Federal Partnerships and Requirements
- Evaluation and Data Analytics and Infrastructure

**CORE COMPONENTS & SHARED SERVICES**

EMPI

RFP Out RFP In Selection Contract

<--- DDI --->

EMPI Build Complete

MDM / ID Mgmt / ESB / Workflow / Rules Engine

<--- Implemented by DII/SOA Team --->

PORTAL Architecture / Design discussions

RFP Out RFP In Contract

<--- DDI --->

Portal Build Complete

PROVIDER DIRECTORY Requirements

RFP Out RFP In Contract

<--- DDI --->

Provider Directory Comp

Integrated CASE MANAGEMENT-CARE COORDINATION Solution

EMPI Vendor Demos 3/2 & 3 in VT

**HIX VIEWS**

1st Gate Review

2nd Review

CCIO Review

10/1/2013 1/1/2014

Business Architecture / Requirements

HIX VIEWS

DONE

RFP Out

Development of Rules

Preliminary Testing

FINAL TESTING LIVE LAUNCH

NESCIES / Massachusetts Vendor Demos 2/28 & 29 - VT representative attending.

Work underway with Rob, Lindsey, AHS IT & DII on refining this time line.

Health Programs transition out of ACCESS

RFP In Contract

<--- DDI --->

COMPLETE

Planning for ADDITIONAL HEALTH E&E (e.g., Duals, S-89)

TESTING LIVE

All new health programs E&E in VIEWS

Non-Health E&E to VIEWS

Requirements RFP Out/In Contract

<--- DDI --->

COMPLETE

**SHARED BUSINESS FUNCTIONS** *near term* : opportunities to leverage the HIX & Medicaid Financial and Plan Management functionalities (Requirements to be determined Q1-Q2 2012) *long term* : "Single pipe, single system" functionality

FINANCIAL MANAGEMENT

RFP Out RFP In Contract

<--- DDI --->

FINAL TESTING LIVE LAUNCH

PLAN MANAGEMENT

RFP Out RFP In Contract

<--- DDI --->

FINAL TESTING LIVE LAUNCH

Administrative Simplification Analysis / Prioritization / Planning

SINGLE SYSTEM IT INFRASTRUCTURE DDI

**MEDICAID ENTERPRISE SOLUTION**

Data Warehouse Requirements Discussions

Program Integrity

RFP Out

RFP In Contract

<--- DDI ...? Timeframe --->

Pharmacy Solution

HP Contract Renegotiation

MITA State Self-Assessment Update

NEW HP CONTRACT starts

MMIS begins to utilize EMPI & PROVIDER DIRECTORY

Prioritized Release of other MITA MMIS Component RFPs (DDI estimates range 24 to 60 months)

Work underway with Lori, Jeff, Steve, AHS IT & DII on defining Enterprise data warehouse needs and requirements, as precursor to RFP development.

**FEDERAL PARTNERSHIPS**

ID Mgmt Discussions

ID MGMNT DDI

ID Proofing Service

APD BUNDLING / COST ALLOCATION BETA TEST

RELEASE of Federal Architecture Blueprints

Federal DATA HUB goes live

Conversation with CMS on 2/24 -- agreement to submit "single APD," agreement on format / approach. Drafting now.

**CLINICAL INFORMATION SYSTEMS**

BLUEPRINT IT: Covisint DocSite

Covisint Contract Renewal discussions, evaluation of adding ProviderLink

Contract Begins 7/1/12

Development of additional Measure Sets

VERMONT HEALTH INFORMATION EXCHANGE (VHIE) operated by VITL (Vermont Information Technology Leaders) utilizing the Medcity HIE platform

VITL SFY13 Grant Agreement development

Grant Begins 7/1/12

VT HIT PLAN

State HIT Plan Update underway -----> Due 5/8/12

**EVALUATION & DATA ANALYTICS INFRASTRUCTURE**

VHCURES, IRIS, HOSPITAL BUDGET SYSTEMS, etc. MILESTONES WILL GO IN HERE, BUT NOT TODAY

# The Agency of Human Services has Unlimited Oracle License Agreement for 53 Key SOA Infrastructure Components to Support the Health Services Enterprise

- Oracle Database Enterprise Edition - Processor Perpetual
- Real Application Clusters - Processor Perpetual
- Advanced Security - Processor Perpetual
- Oracle Active Data Guard - Processor Perpetual
- Diagnostics Pack - Processor Perpetual
- Tuning Pack - Processor Perpetual
- Change Management Pack - Processor Perpetual
- Provisioning and Patch Automation Pack for Oracle Database - Processor Perpetual
- Configuration Management Pack for Oracle Database - Processor Perpetual
- Business Intelligence Publisher - Processor Perpetual
- Oracle Policy Modeling - Application User Perpetual
- Oracle Policy Automation - Processor Perpetual
- Oracle Policy Automation Connectors For Siebel - Processor Perpetual
- Siebel Public Sector CRM Base Option - Application User Perpetual
- Siebel CRM Base - Application User Perpetual
- Siebel Tools - Application User Perpetual
- Siebel Public Sector Partner Portal - Registered User Perpetual
- Siebel Public Sector eService - Processor Perpetual
- Siebel Partner Manager - Application user Perpetual
- Oracle Tutor - Application User Perpetual
- Oracle Governance, Risk, and Compliance Manager - Application User Perpetual
- Oracle Application Management Suite for Siebel - Processor Perpetual
- WebLogic Suite - Processor Perpetual
- Identity Analytics - Employee User Perpetual
- Identity and Access Management Suite Plus - Processor Perpetual
- Identity Manager Connector - Database Applications Table - Connector Perpetual
- Identity Manager Connector - Database User Management - Connector Perpetual
- Identity Manager Connector - Microsoft Exchange - Connector Perpetual
- Identity Manager Connector - PeopleSoft Enterprise Applications - Connector Perpetual
- Identity Manager Connector - Microsoft Windows - Connector Perpetual
- Identity Manager Connector - UNIX - Connector Perpetual
- Identity Manager Connector - RSA Authentication Manager - Connector Perpetual
- Identity Manager Connector - Siebel Enterprise Applications - Connector Perpetual
- Identity Manager Connector - IBM RACF - Connector Perpetual
- Management Pack Plus for Identity Management - Processor Perpetual
- SOA Management Pack Enterprise Edition - Processor Perpetual
- WebLogic Server Management Pack Enterprise Edition - Processor Perpetual
- SOA Suite for Oracle Middleware - Processor Perpetual
- Unified Business Process Management Suite - Processor Perpetual
- Audit Vault Server - Processor Perpetual
- Audit Vault Collection Agent - Processor Perpetual
- Management Pack for WebCenter Suite - Processor Perpetual
- WebCenter Suite - Processor Perpetual
- Oracle Customer Hub Data Steward - Application User Perpetual
- Oracle Customer Hub B2B - Record Perpetual
- Oracle Customer Hub B2C - Record Perpetual
- Oracle Activity Hub B2B for Oracle Customer Hub B2B - Record Perpetual
- Oracle Activity Hub B2C for Oracle Customer Hub B2C - Record Perpetual
- Oracle Customer Master Data Management Integration Base Pack - Processor Perpetual
- Oracle Data Quality Matching Server - Processor Perpetual (4 CPU Perpetual)
- Oracle Data Quality Address Validation Server - Processor Perpetual (4 CPU Perpetual)
- Oracle Data Quality Parsing and Standardization Server - Processor Perpetual (4 CPU Perpetual)
- Oracle Data Quality Profiling Server - Processor Perpetual (4 CPU Perpetual)

## Project Objectives

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- AHS has two key objectives for this engagement
  - Expediting the progress of the Integrated Health and Human Services Program
  - Ensuring likelihood of the Blueprint for Health program success and benefits realization
- AHS and Gartner have defined a number of areas which will enable achievement of these key objectives
  - Ensure that there is **Organizational Readiness** to undertake the program
  - Ensure that the **Functional Requirements** and **Non-Functional Requirements** are specified with enough completeness for successful procurement and implementation
  - Investigation of a range of potential alternative and recommendation from the **Alternatives Analysis** regarding a preferred approach to architecture and implementation
  - A **Procurement Strategy and Roadmap** which will ensure rapid cost effective procurement of relevant technologies and services
  - Ongoing **Quality Assurance Oversight** which will ensure that key deliverables and processes are progressing according to plan and will result in the expected outcomes and benefits



## Project Scope and Approach

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## Project Scope

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- Based upon discussion with Vermont leadership, Gartner and AHS have identified seven (7) work streams which will achieve the project objectives as follows:
  1. **Organizational Level of Readiness** - Conduct an assessment of strengths and risks of the current organizational structure and capabilities, and provide recommendations to build on strengths and address risks in ensuring a successful procurement process and the build out and on-going maintenance and operations of the envisioned Health Services Enterprise Infrastructure Components
  2. **Functional Requirements Validation** – Conduct a review of the current process for defining functional requirements, assessing the current state of requirements definition and provide recommendations for finalizing functional requirements
  3. **Non-Functional Requirements Validation** – Conduct a review of the current process for defining non-functional requirements, assessing the current state of non-functional requirements definition and provide recommendations for finalizing these requirements
  4. **Alternatives Analysis (AA)** – Conduct an analysis of the strengths, benefits and risks of alternatives for building out the modular solution pattern for the Vermont Health Services Enterprise using Oracle’s 53 key Service Oriented Architecture (SOA) infrastructure components, other essential solution components and development approaches

## Project Scope, Cont'd

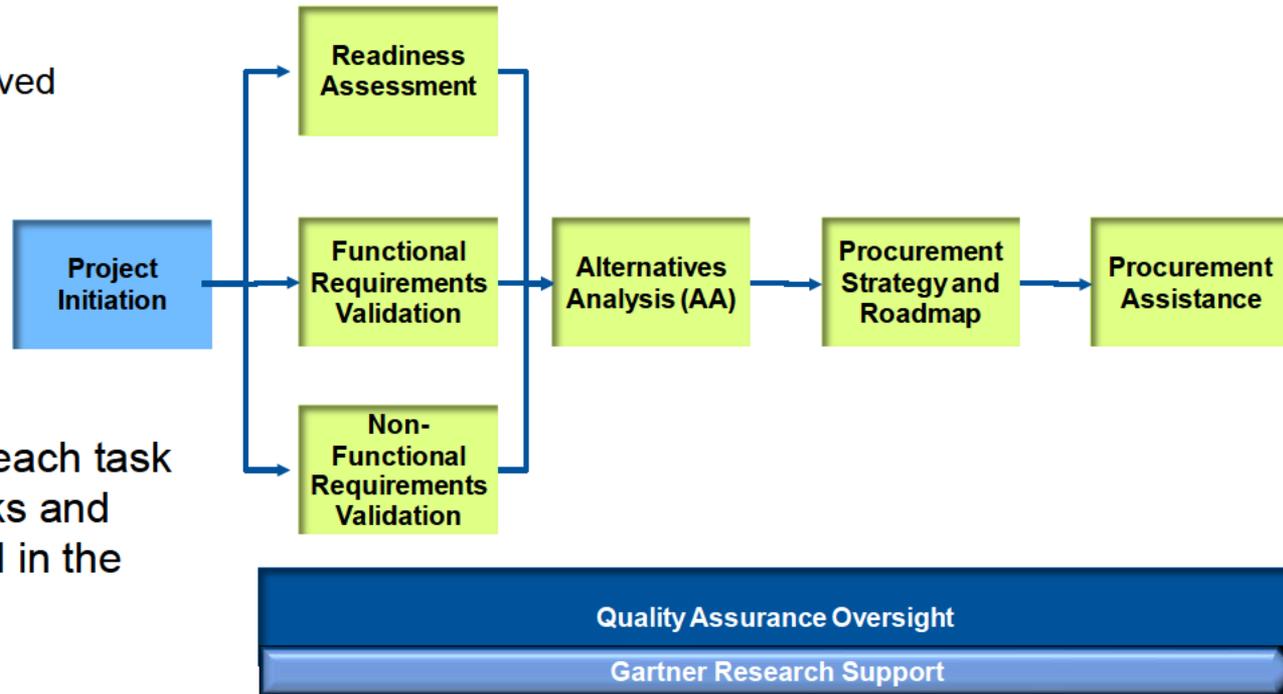
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- Based upon discussion with Vermont leadership, Gartner and AHS have identified seven (7) work streams, Continued:
  5. **Procurement Strategy and Roadmap** – Develop a procurement strategy and roadmap (timeline), based on results of the Alternatives Analysis
  6. **Procurement Assistance** – Provide procurement support for going to market for the Health Services Enterprise key components and services
  7. **Quality Assurance Oversight Role** – Provide quality assurance oversight assessments of key deliverables/processes of the vendors' work efforts
- Gartner will perform all the work defined in the proposed work streams
- The project Scope Also includes Gartner Research components essential to support the key members of the VT team through the life cycle of the Vermont Health Services Enterprise Project. Three components are being included as part of the scope of work –
  - **Executive Programs CIO Signature** – Targeted for Richard Boes and Angela Rouelle - robust advisory capacity to better inform CIOs in the evaluation and selection of appropriate IT products and services, the management of IT as well as the application of this knowledge to enhance the effectiveness and efficiency of outcomes for the Vermont Health Services Enterprise effort
  - **Gartner for IT Leaders Advisor Workgroup** – Provided for identified team members supporting the Vermont Health Services Enterprise Project
  - **Gartner for Technical Professionals**– Provided online access for the enterprise supporting the Vermont Health Services Enterprise Project and to the leadership of the Agency of Human Services

# Overall Approach

- Although there are interdependencies among each of the seven work streams, Gartner will approach them independently and will create mechanisms within and across the project teams to ensure that -
  - Project integration takes place
  - Synergies among the findings and outcomes are leveraged
  - Key milestones are achieved expeditiously as planned

- In general, the approach is as depicted here:



- A high level overview of each task follows, and detailed tasks and descriptions are provided in the following sections



## Project Timeline

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## Project Timeline

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- A high level schedule which shows key milestones and interdependencies follows
- An active and collaborative process during the project initiation activities will result in a detailed project work plan and work breakdown structure (WBS)
- The project schedule reflects parallel work efforts to expedite the project's efforts
- Whenever possible, Gartner will work with the core Project Team to accelerate an activity or move a portion of the project's activities forward ahead of schedule to deliver higher value and to develop "early wins"

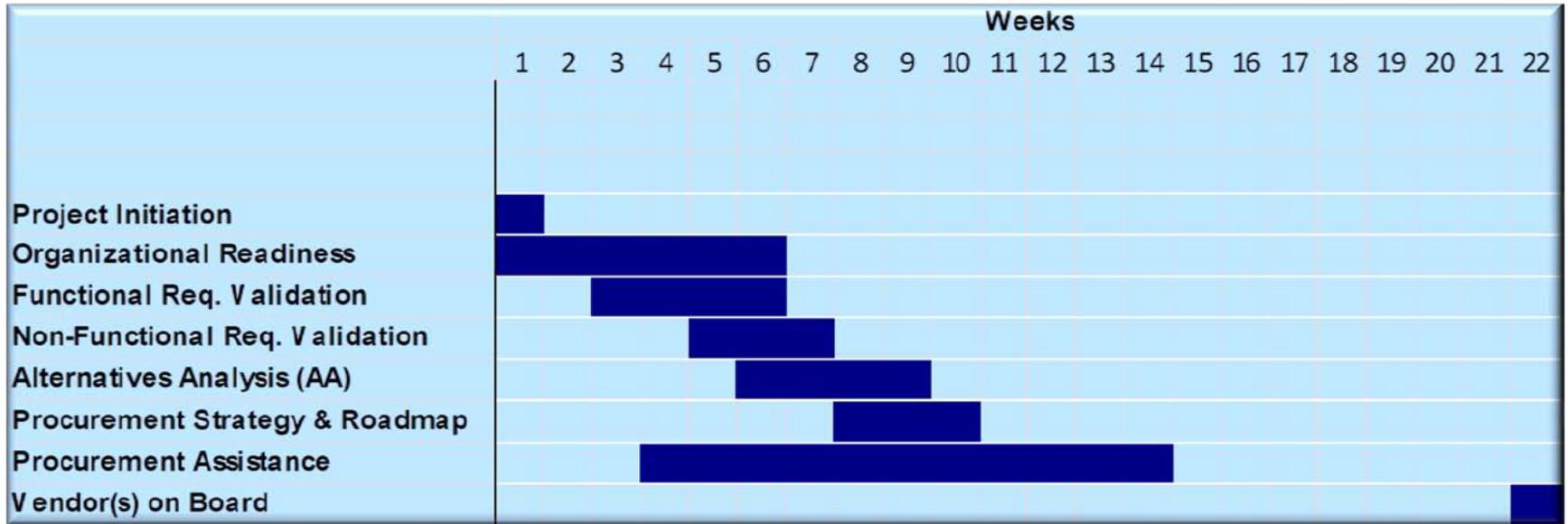
## Project Timeline

- The projected schedule for the project is as follows:

Project Task	Start Week	End Week
Project Initiation	1	1
Organizational Readiness	1	6
Functional Req. Validation	3	6
Non-Functional Req. Validation	5	7
Alternatives Analysis (AA)	6	9
Procurement Strategy & Roadmap	8	10
Procurement Assistance	4	22
Vendor(s) on Board	22	22
QA Work Stream	18	74
QA Charter and Rules of Engagement	20	20
Final QA Criteria and Methodology	22	22
Base Line Health Check	34	35
Monthly Deliverables Review Assessments	22	48
Quarterly Review 1	47	48
Quarterly Review 2	60	61
Quarterly Review 3	73	74

# Estimated Project Schedule and Key Milestones for First Six Work Streams

- The Schedule and key milestones for the first 6 work streams is well defined as follows



- A detailed project plan and Work Breakdown Structure will be developed during project initiation

## Project Deliverable Milestones

Project Component / Task	Deliverable	Milestone Week
<b>Project Initiation</b>	<ul style="list-style-type: none"> <li>Project Status, Issues and Risks Reporting Template and Schedule</li> </ul>	<ul style="list-style-type: none"> <li>Week 1</li> </ul>
<b>Readiness Assessment</b>	<ul style="list-style-type: none"> <li>Readiness Assessment As-Is Findings</li> <li>To-be Target State and Recommendations</li> <li>Final Organizational Readiness Report, Findings and Recommendations</li> </ul>	<ul style="list-style-type: none"> <li>Week 3</li> <li>Week 5</li> <li>Week 6</li> </ul>
<b>Functional Requirements Validation</b>	<ul style="list-style-type: none"> <li>Final Functional Requirements Assessment</li> <li>Functional Requirements Enhancement Recommendations and Roadmap</li> </ul>	<ul style="list-style-type: none"> <li>Week 5</li> <li>Week 6</li> </ul>
<b>Non-Functional Requirements Validation</b>	<ul style="list-style-type: none"> <li>Final Non-Functional Requirements Assessment</li> <li>Final Non-Functional Requirements Enhancement Roadmap</li> </ul>	<ul style="list-style-type: none"> <li>Week 6</li> <li>Week 7</li> </ul>
<b>Alternatives Analysis (AA)</b>	<ul style="list-style-type: none"> <li>AA Final Report</li> </ul>	<ul style="list-style-type: none"> <li>Week 9</li> </ul>
<b>Procurement Strategy and Roadmap</b>	<ul style="list-style-type: none"> <li>Final Procurement Strategy and Roadmap</li> </ul>	<ul style="list-style-type: none"> <li>Week 10</li> </ul>

## Project Deliverable Milestones, Cont'd

Project Component / Task	Payment Deliverables	Milestone Week
<p><b>Procurement Assistance</b></p>	<ul style="list-style-type: none"> <li>• Technical RFP Narrative</li> <li>• Final Evaluation Framework and Evaluation Tools</li> <li>• Completion of Training of Proposal Evaluation Team</li> <li>• Agenda and Interview Questions for Short List Vendors' Orals</li> <li>• Final Procurement Report</li> </ul>	<ul style="list-style-type: none"> <li>• Week 9</li> <li>• Week 11</li> <li>• Week 13</li> <li>• Week 16</li>   <li>• Week 22</li> </ul>
<p><b>Quality Assurance Oversight</b></p>	<ul style="list-style-type: none"> <li>• QA Charter and Rules of Engagement</li> <li>• Final QA Criteria and Methodology</li> <li>• Baseline Project Health Check</li> <li>• QA Deliverable Review Assessment Reports</li>   <li>• Quarterly Project Health Check Reports</li> </ul>	<ul style="list-style-type: none"> <li>• Week 20</li> <li>• Week 22</li> <li>• Week 36</li> <li>• Monthly as deliverables are completed and reviewed</li> <li>• Quarterly starting Week 48 and ending on week 74</li> </ul>



## Project Components and Tasks

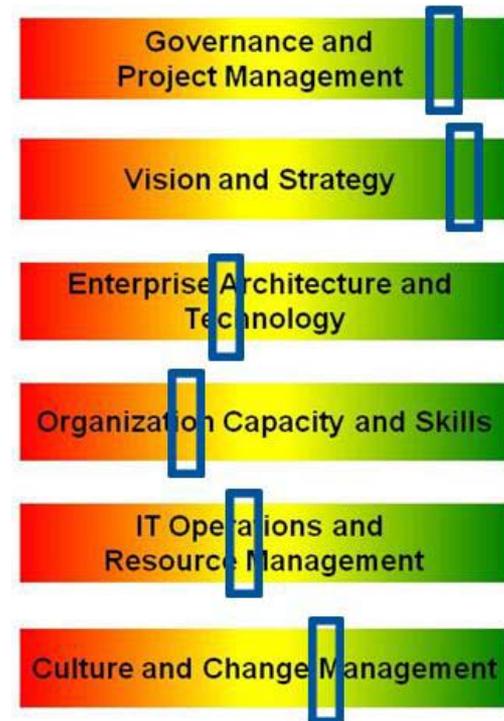
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# 1. Organizational Level of Readiness Purpose

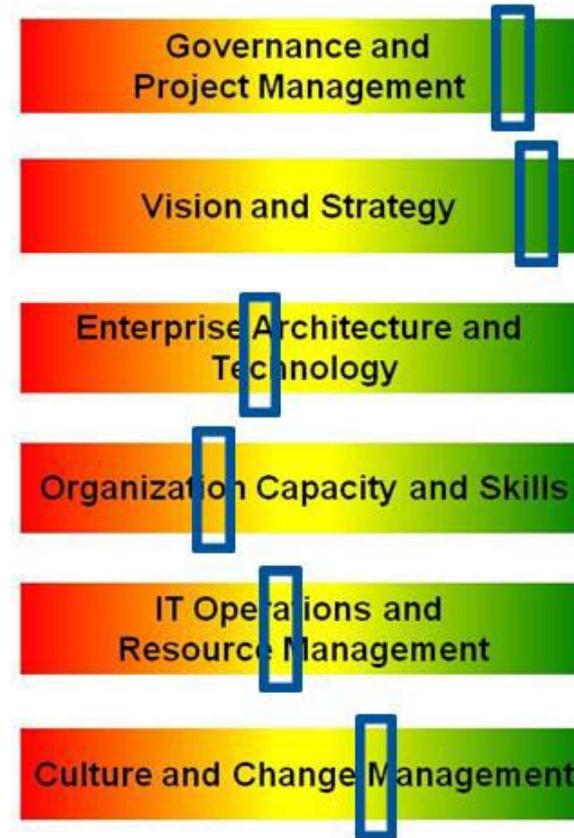
- **Organizational Level of Readiness** – Conduct an assessment of strengths and risks of the current organizational structure and capabilities in the following key six domains and provide recommendations (activities and timeline) to build on strengths and address risks to a successful procurement process and the sequencing, build out and on-going maintenance and operations of the envisioned Health Services Enterprise Infrastructure Components. The Readiness Assessment Domains include -

- A. **Governance and Project Management Structure**
- B. **Project Vision and Strategy**
- C. **Enterprise Architecture and Technology**
- D. **Organization Capacity and Skills**
- E. **IT Operations and Resource Management**
- F. **Culture and Change Management**

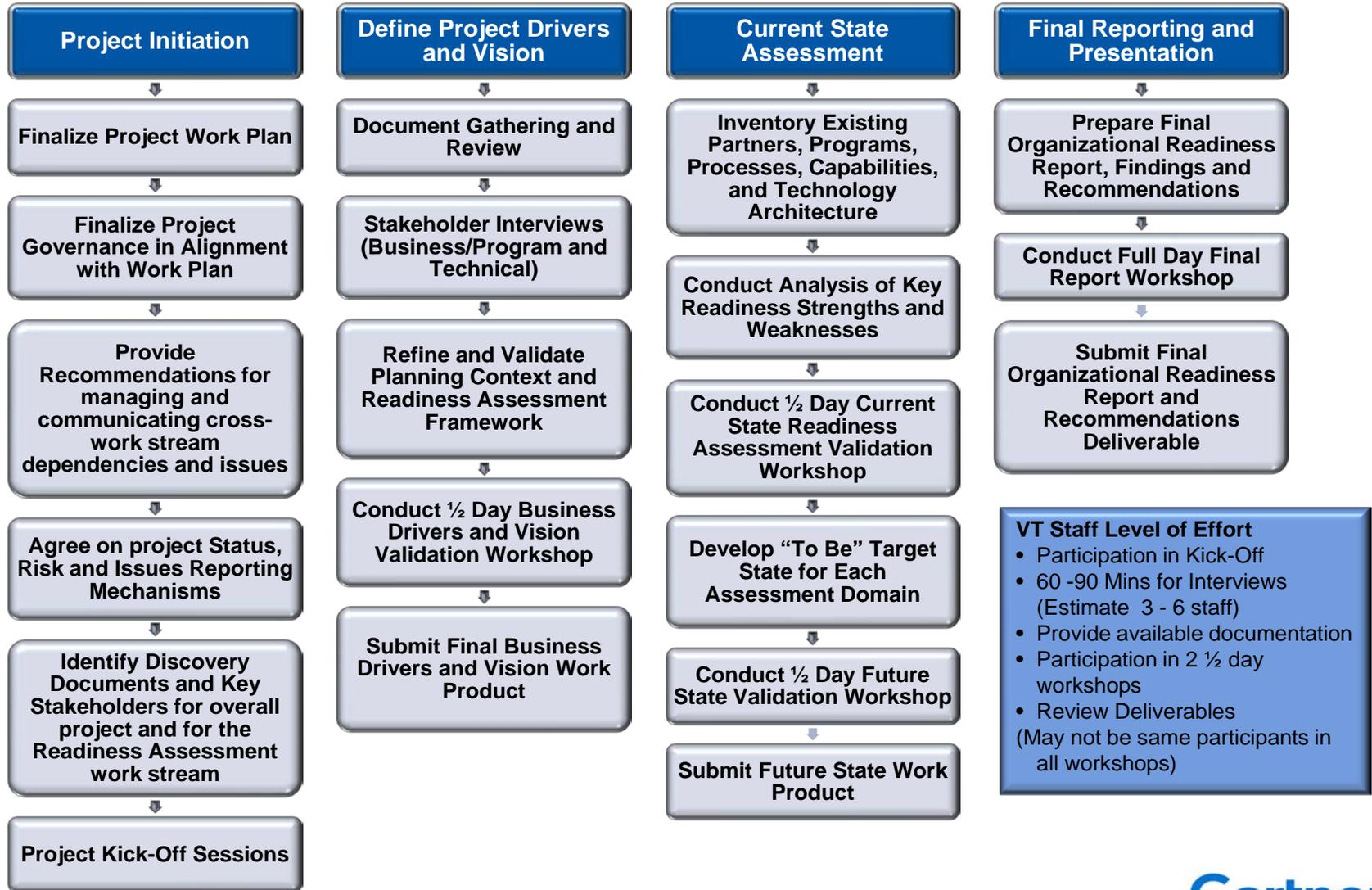


# 1. Organizational Level of Readiness Objectives

- The Readiness Assessment will highlight strengths and weaknesses in decision making, project implementation, technical infrastructure, resource capacity and organizational change management capabilities
- It can be used as a basis for planning for design and implementation of the new systems and processes
- It will highlight gaps that need to be addressed to enhance likelihood of success
- It will provide recommendations for an overall governance and organization structure for the program

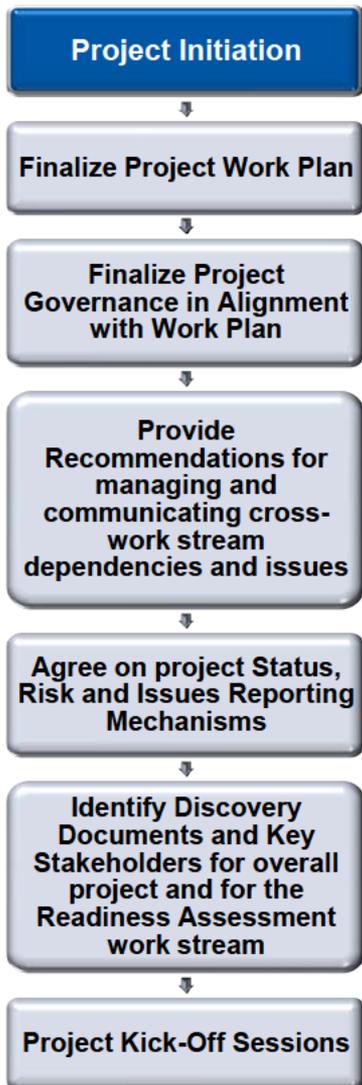


# 1. Organizational Level of Readiness



# 1. Organizational Level of Readiness

## Task 1: Project Initiation



### ■ Objectives

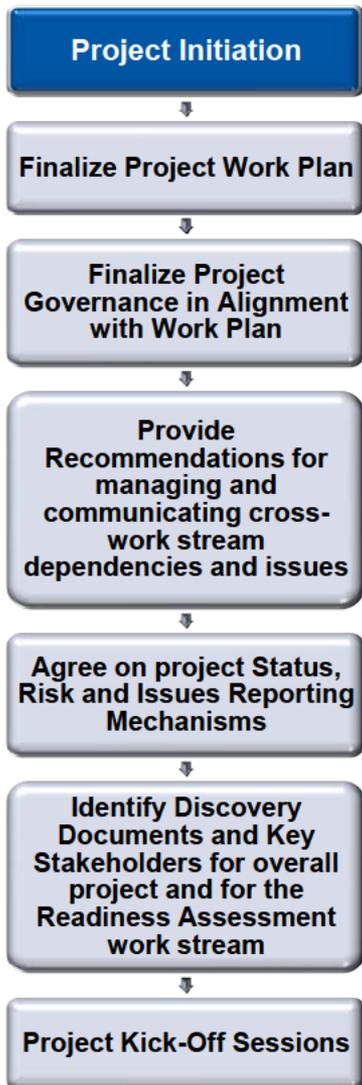
- Ensure Gartner and the Vermont project teams are aligned on the goals, objectives, responsibilities and work plan
- Agree on how the Gartner and Vermont project teams will work together to coordinate efforts and on how the project will be managed
- Identify the sources of data for the data discovery work

### ■ Process

- Finalize Project work plan and conduct knowledge-transfer session with Vermont staff regarding project approach, methodologies and tools
- Work with the Core Project Team on Project Governance and Organization
- Identify key project activity integration points for the core work streams
- Begin data discovery - identify discovery documents and key stakeholders for the key work streams and for the Federally required planning documents
- Conduct kick-off sessions with the project team and other stakeholders (as needed) to review project objectives, approach and methodology and timeline. Identify responsibilities of all project team members and participants for requirements gathering and Workshops

# 1. Organizational Level of Readiness

## Task 1: Project Initiation, Cont'd



### ■ Gartner Responsibilities

- Develop materials and facilitate Kick-off sessions
- Finalize Project Work plan and milestones and key deliverables timeline for Vermont approval
- Begin discovery activities

### ■ Vermont Responsibilities

- Ensure active participation from Core Project Team
- Provide relevant documentation, identify key stakeholders and manage meeting logistics

### ■ Work Product

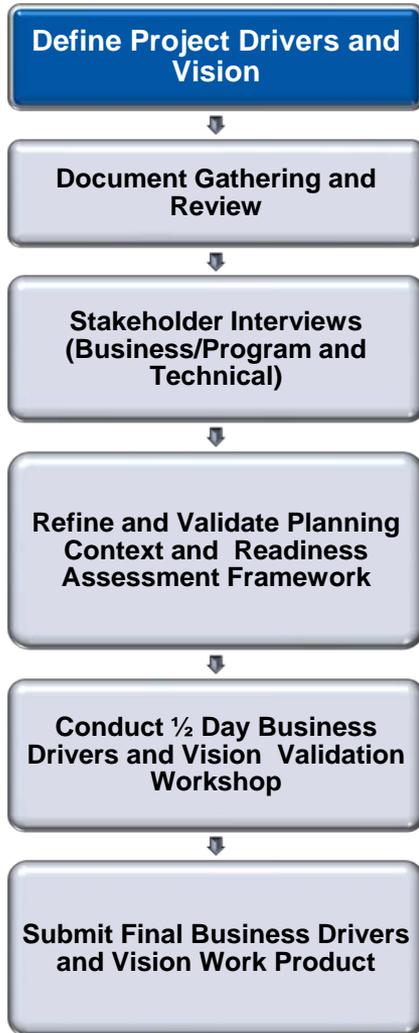
- Detailed Work Plan
- Kick-Off Presentation

### ■ Timeline

- See Milestones and Key Deliverables Timeline Slides (see slides 9 - 12)

# 1. Organizational Level of Readiness

## Task 2: Define Project Drivers and Vision



### ■ Objectives

- Identify key drivers and expected outcomes against which the program will be assessed

### ■ Process

- Collect data on current state and strategic directions through
  - Reviewing relevant documentation provided by AHS
  - 15 – 20 Individual and group interviews with key project stakeholders identified during project initiation
- Refine Gartner Readiness Assessment framework to address AHS and Vermont context
- Conduct Business Drivers and Vision Validation workshop

### ■ Gartner Responsibilities

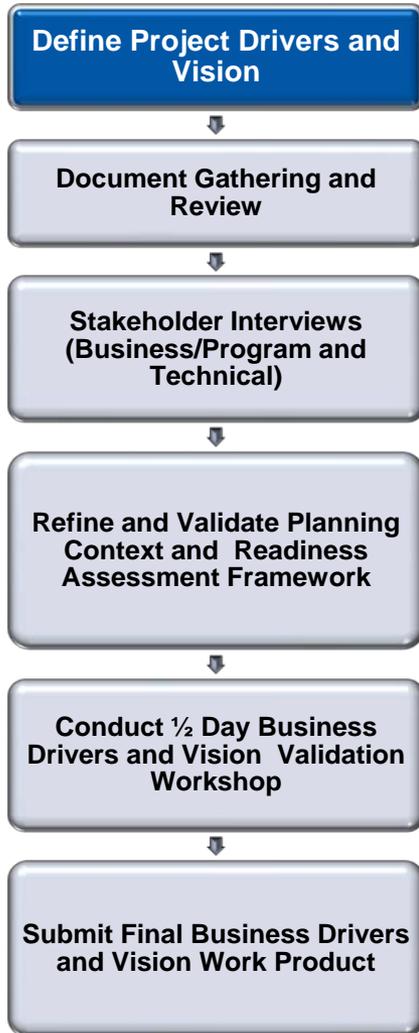
- Conduct data gathering
- Develop workshop materials and facilitate workshop

### ■ Vermont Responsibilities

- Provide documentation
- Attend at interviews and at workshop

# 1. Organizational Level of Readiness

## Task 2: Define Project Drivers and Vision, Cont'd



### ■ Work Product

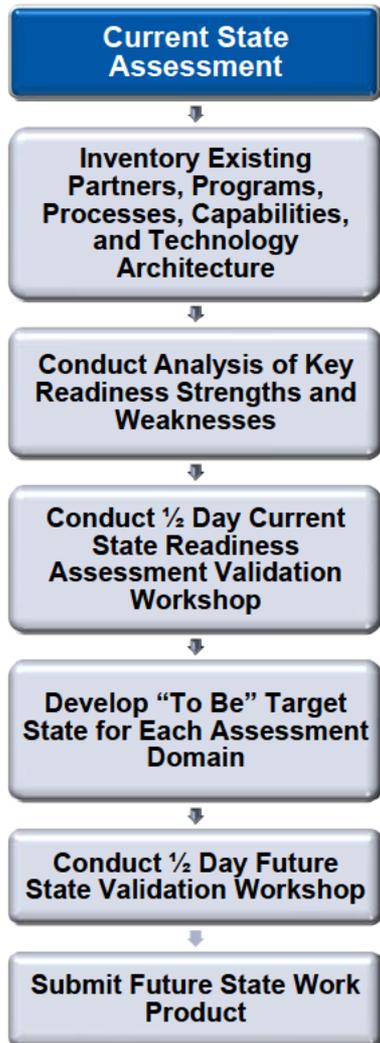
- Refined Assessment framework
- Business Drivers and Vision workshop material

### ■ Timeline

- See Milestones and Key Deliverables Timeline Slides (see slides 9 - 12)

# 1. Organizational Level of Readiness

## Task 3: Current State Assessment



### ■ Objectives

- Assess organizational readiness and develop recommendations to address identified gaps

### ■ Process

- Apply refined readiness assessment framework to identify key strengths and weaknesses
- Develop draft readiness assessment findings
- Review draft findings in a workshop setting
- Develop draft and recommendations for “To Be” target state
- Review recommendations in a workshop setting
- Refine “To Be” target state based on workshop feedback

### ■ Gartner Responsibilities

- Apply framework and conduct Readiness Assessment analysis
- Develop as-is findings and to-be recommendations
- Review and refine deliverables

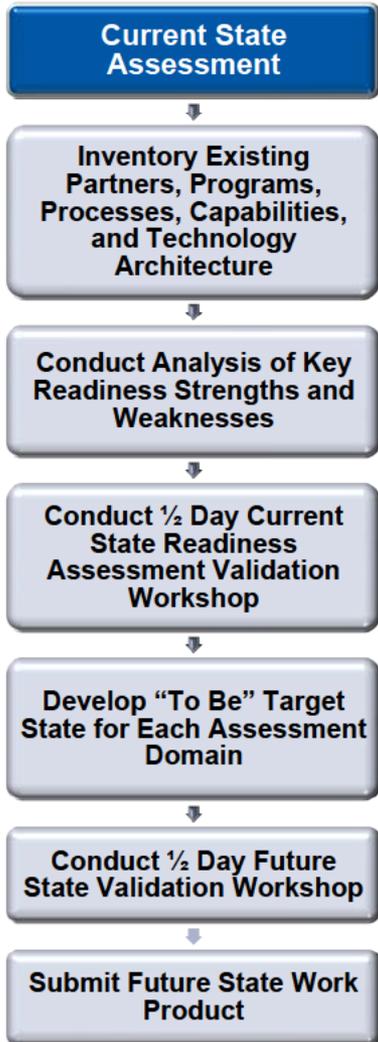
### ■ Vermont Responsibilities

- Attend workshops and provide active feedback
- Manage meeting logistics

# 1. Organizational Level of Readiness

## Task 3: Current State Assessment, Cont'd

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### ■ Work Product

- Readiness Assessment as-is findings
- To-be target state and recommendations to achieve that

### ■ Timeline

- See Milestones and Key Deliverables Timeline Slides (see slides 9 - 12)

# 1. Organizational Level of Readiness

## Task 4: Final Reporting and Presentation

---



### ■ Objectives

- Communicate findings and obtain executive commitment for organizational readiness building

### ■ Process

- Prepare Final Organizational Readiness Report, Findings and Recommendations
- Conduct Full Day Final Report Workshop
- Refine Organizational Readiness Report and Recommendations Deliverable based on workshop feedback

### ■ Gartner Responsibilities

- Develop Final report
- Develop and deliver executive summary presentation(s)

### ■ Vermont Responsibilities

- Receive and accept recommendations and planning

### ■ Work Product

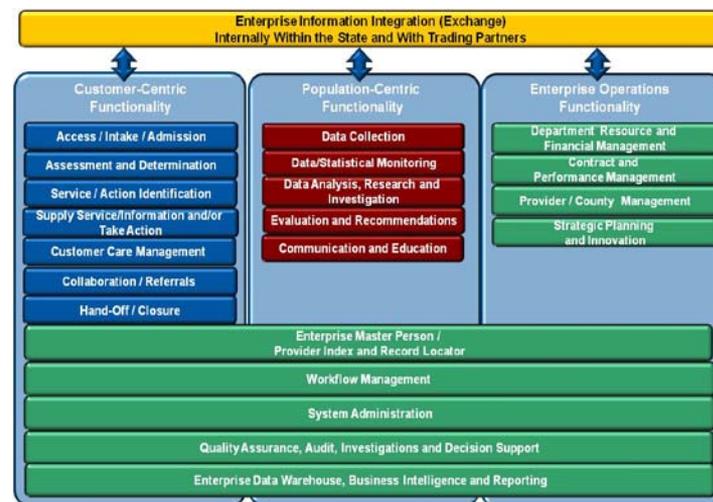
- Workshop material
- Final Organizational Readiness Report, Findings and Recommendations

### ■ Timeline

- See Milestones and Key Deliverables Timeline Slides (see slides 9 - 12)

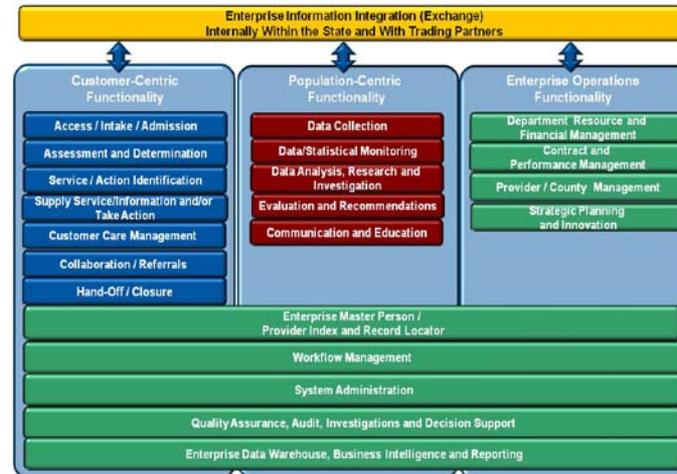
## 2. Functional Requirements Validation Purpose

- **Functional Requirements Validation** – Conduct a review of the current process for defining functional requirements, assessing the current state of requirements definition and provide recommendations for finalizing functional requirements to support procurement efforts, finalizing a contract with selected vendors and to guide the design, development and implementation effort – with a focus on the following core functional capabilities -
  1. Integrated Eligibility across all programs with initial focus on Healthcare – Medicaid, CHIP and HIX
  2. Consumer Self Sufficiency – Eligibility Application, Status Management and Personal Care Record
  3. Look Up and Query for Consumers, Staff and Providers
  4. Managing Referrals
  5. Collaboration Tools and Virtual Record Supporting Collaboration
  6. Financial Management
  7. All Claims and Payment
  8. “Pushed” – Notices, Alerts, Dashboards and Other Pushed Decision Support Tools and Reports
  9. “Pulled” – Accessing Information to Support Activities and Decisions – Standard, Ad Hoc Parameter Driven and Higher Level Analytical Reporting Capabilities

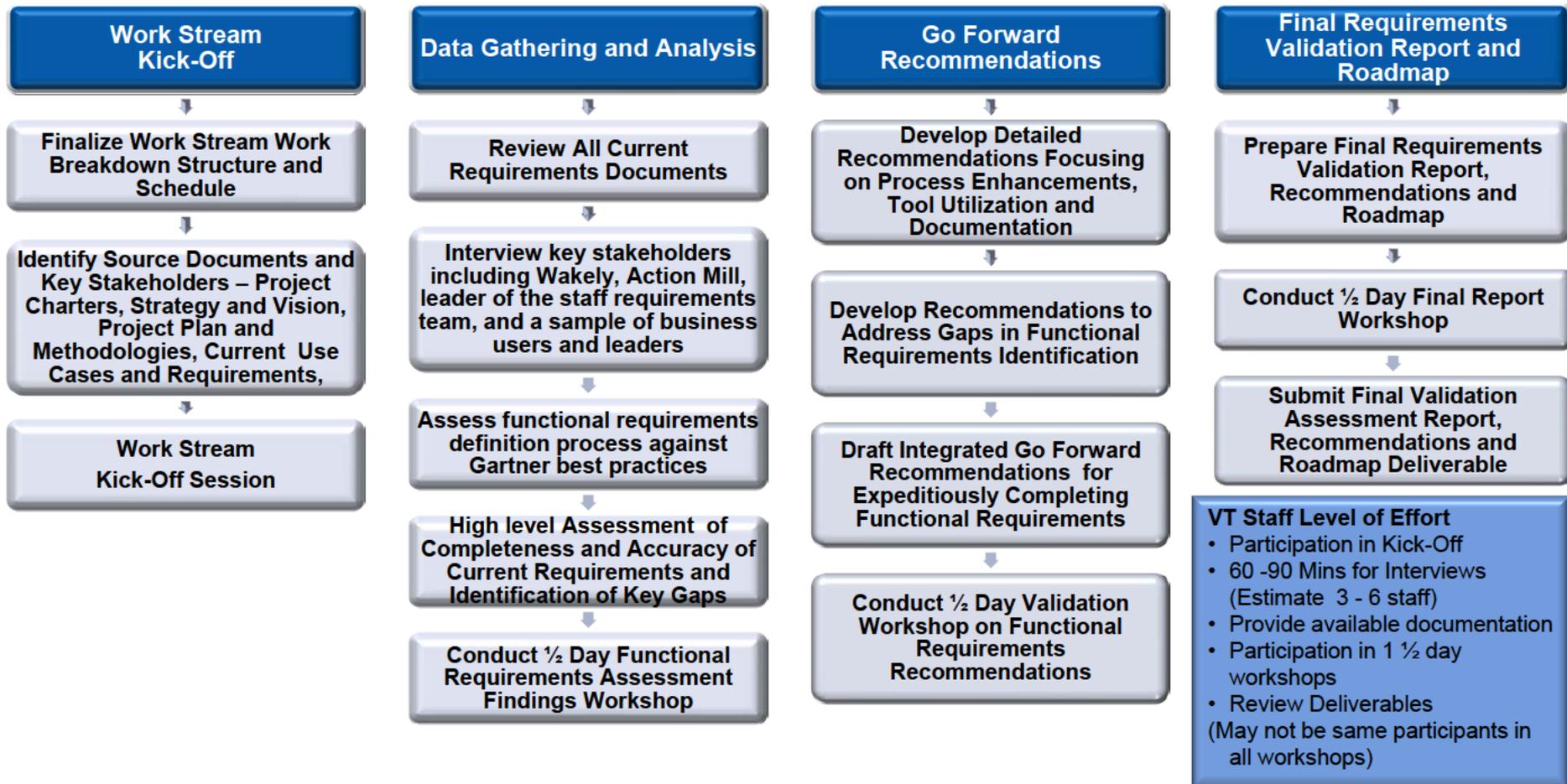


## 2. Functional Requirements Validation Objectives

- Assess current processes and progress towards the definition of functional requirements
- Develop recommendations for enhancing processes for developing a set of structured and complete functional requirements which will –
  - Be aligned with and traceable to business objectives and strategies
  - Support procurement efforts
  - Guide the design, development and implementation effort

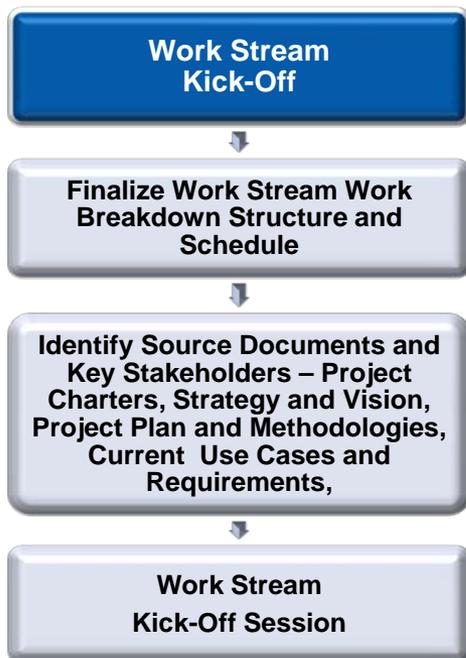


## 2. Functional Requirements Validation



## 2. Functional Requirements Validation

### Task 1: Work Stream Kick Off



#### ■ Objectives

- Ensure that expectations and process for the work stream are clear and agreed upon

#### ■ Process

- Meet with core AHS team to finalize detailed work plan and timing and identify the sources of data for the data discovery work

#### ■ Gartner Responsibilities

- Develop kick-off session materials and facilitate session
- Finalize work stream milestone and key deliverables timeline
- Begin discovery activities

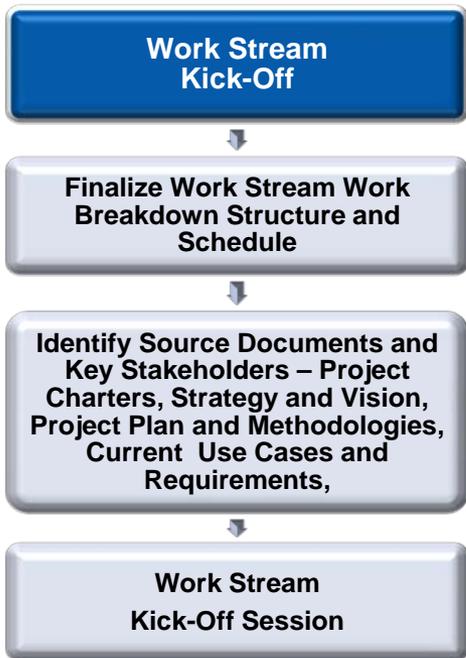
#### ■ Vermont Responsibilities

- Ensure active participation from Core Project Team
- Provide relevant documentation, identify key stakeholders and manage meeting logistics

## 2. Functional Requirements Validation

### Task 1: Work Stream Kick Off, Cont'd

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#### ■ **Work Product**

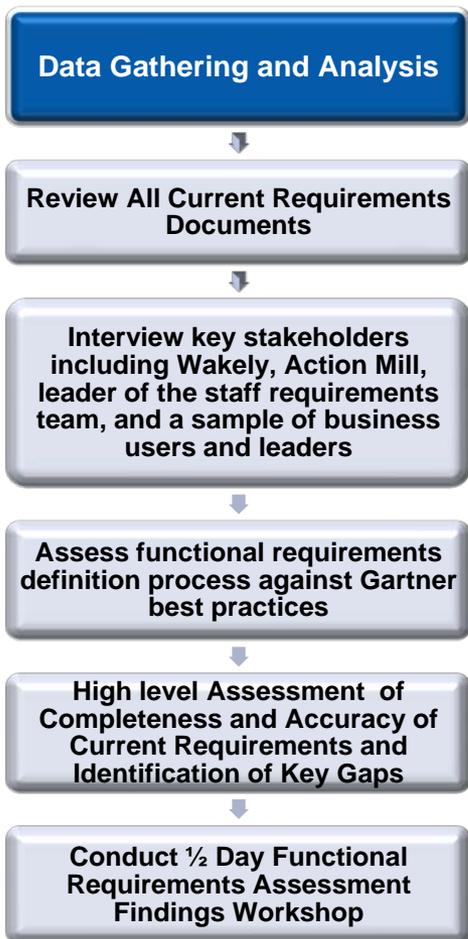
- Detailed Work Plan
- Kick-Off Presentation

#### ■ **Timeline**

- See Milestones and Key Deliverables Timeline Slides (see slides 9 - 12)

## 2. Functional Requirements Validation

### Task 2: Data Gathering and Analysis



#### ■ Objectives

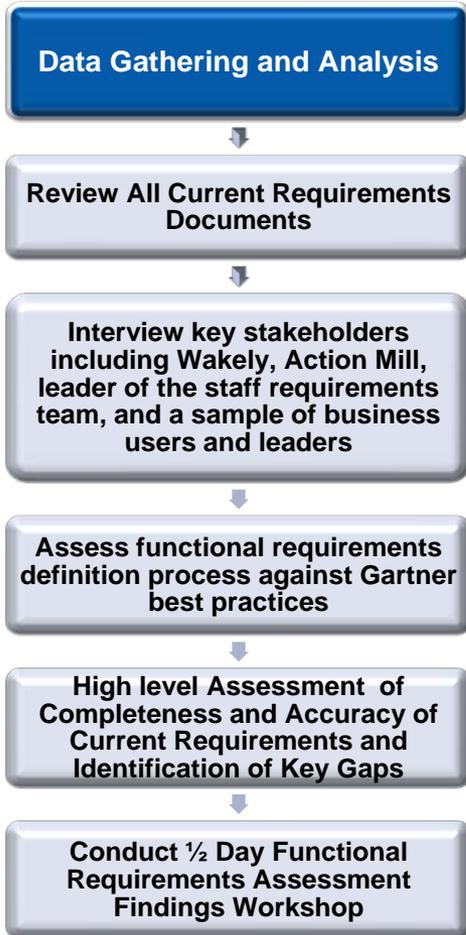
- Assess process and outcome of functional requirements gathered to date

#### ■ Process

- Review all documents provided by AHS
- Refine assessment and validation framework based on Gartner research and best practices
- Conduct key 12 – 15 interviews to clarify open questions and address outstanding issues raised during document review
- Apply assessment and validation framework to identify strengths and gaps in outcome and process
- Develop draft findings for review in Functional Requirements Assessment Workshop
- Conduct Functional Requirements Assessment Workshop
- Conduct research and analysis as necessary and refine findings based on feedback received during the Functional Requirements Assessment Workshop

## 2. Functional Requirements Validation

### Task 2: Data Gathering and Analysis, Cont'd



#### ■ Gartner Responsibilities

- Data gathering
- Application of assessment and validation framework
- Facilitate workshop, and refine outcomes based on workshop

#### ■ Vermont Responsibilities

- Provide relevant documentation
- Attend individual and group interviews
- Actively participate in the Functional Requirements Assessment Workshop

#### ■ Work Product

- Work shop materials
- Draft and final Functional Requirements Assessment

#### ■ Timeline

- See Milestones and Key Deliverables Timeline Slides (see slides 9 - 12)

## 2. Functional Requirements Validation

### Task 3: Go Forward Recommendations

#### Go Forward Recommendations



Develop Detailed Recommendations Focusing on Process Enhancements, Tool Utilization and Documentation



Develop Recommendations to Address Gaps in Functional Requirements Identification



Draft Integrated Go Forward Recommendations for Expediently Completing Functional Requirements



Conduct ½ Day Validation Workshop on Functional Requirements Recommendations

#### ■ Objectives

- Develop and present recommendations to enhance the process and outcome of collecting and documenting Functional Requirements

#### ■ Process

- Apply Gartner research, prior experience, and workshop outcomes to develop draft recommendations focused on enhancing processes, tools, documentation, and tracing capabilities
- Present recommendations in ½ day validation workshop
- Refine recommendations to reflect input received during the workshop

#### ■ Gartner Responsibilities

- Develop draft recommendations
- Present recommendations and refine to reflect feedback received from AHS

#### ■ Vermont Responsibilities

- Attend and provide feedback at Recommendations workshop

#### – Work Product

- Draft and final recommendations

#### – Timeline

- See Milestones and Key Deliverables Timeline Slides (see slides 9 - 12)

## 2. Functional Requirements Validation

### Task 4: Final Functional Requirements Validation Report and Roadmap

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#### ■ Objectives

- Present final recommendations and action-oriented roadmap for implementing them to core stakeholders

#### ■ Process

- Prepare final recommendations in a detailed report
- Develop an action-oriented roadmap which describes the a number of initiatives required to implement the recommendations including the resources required, key success factors, timeline, and key dependencies
- Review the Recommendations and Roadmap in a 1/2 day workshop and refine the Roadmap based on the outcome of the workshop

#### ■ Gartner Responsibilities

- Develop workshop materials, recommendations, and roadmap
- Facilitate workshop and refine deliverables based on workshop feedback

#### ■ Vermont Responsibilities

- Attend the workshop and provide feedback

## 2. Functional Requirements Validation

### Task 4: Final Functional Requirements Validation Report and Roadmap, Cont'd



#### ■ Work Product

- Functional Requirements Enhancement Recommendations
- Functional Requirements Enhancement Roadmap

#### ■ Timeline

- See Milestones and Key Deliverables Timeline Slides (see slides 9 - 12)

### 3. Non-Functional Requirements Validation Purpose

■ **Non-Functional Requirements Validation** – Conduct a review of the current process for defining non-functional requirements, assessing the current state of non-functional requirements definition and provide recommendations for finalizing non-functional requirements to support procurement efforts, finalizing a contract with selected vendors and to guide the design, development and implementation effort – with a focus on the following core domains –

1. Enterprise Architecture Principles and Standards
2. General System Design
3. Core Health Services Enterprise Components and Capabilities
4. Application and Integration of Oracle 53 Key SOA Infrastructure Components
5. Implementation Approach, Dependencies and Sequencing
6. Performance and Service Levels
7. Hardware and Software
8. Hosting
9. Maintenance and Operations

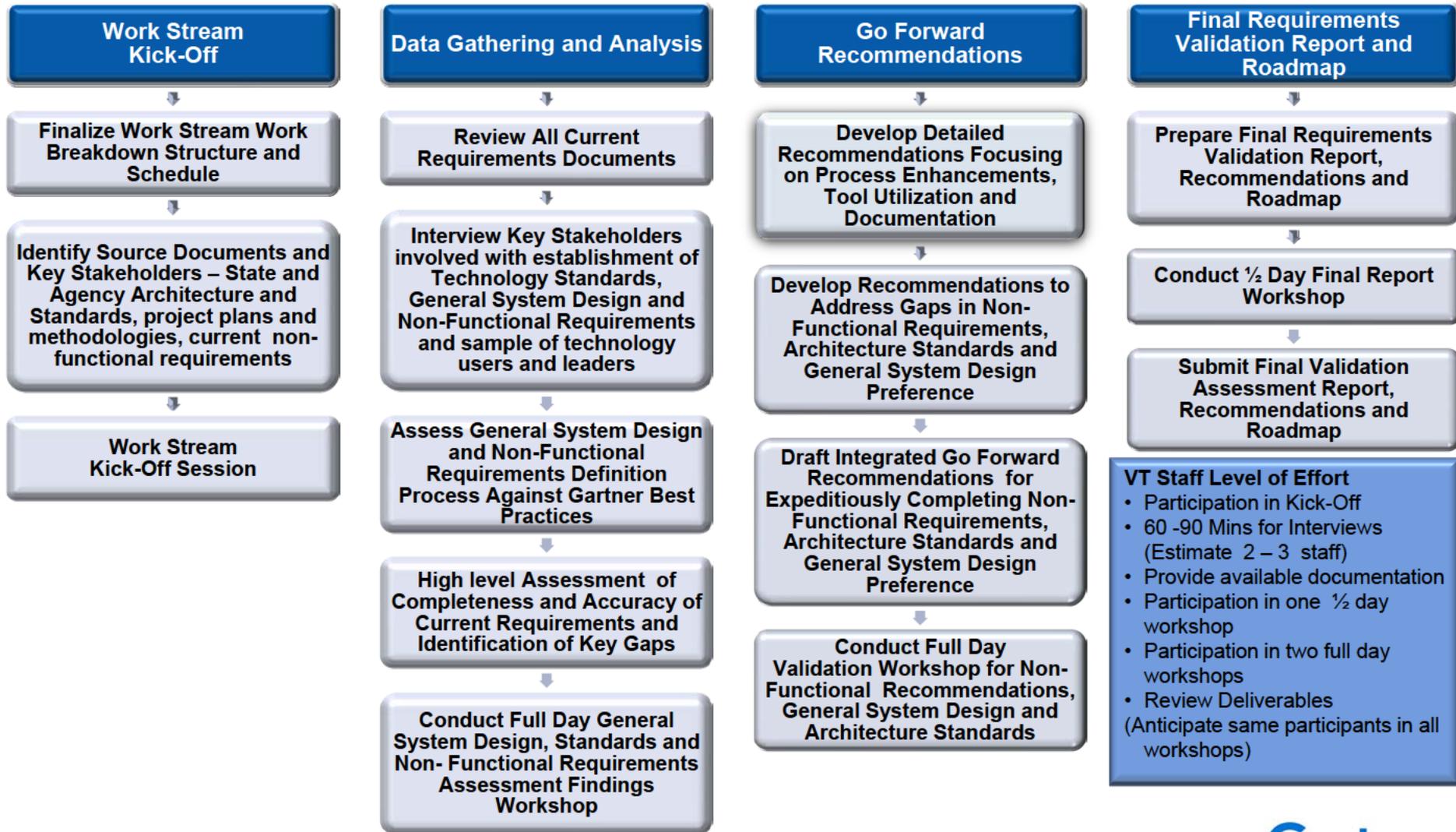
Health Services Enterprise Technical Components	Integrated Eligibility	Health Services Enterprise Core Functional Capabilities			
		Look-up, Search and View Query Results	Referral Management	Collaborative Service Delivery	Notifications and Alerts
<b>Portal</b>					
Access Control	X	X	X	X	X
User Interface	X	X	X	X	X
Search		X	X	X	
Integration Collaboration and Communications	X		X	X	
Document Management	X	X	X	X	
<b>Enterprise Information Exchange</b>					
Data Integration	X	X	X	X	X
MDM and EMPI	X	X	X	X	X
Consent Management	X	X	X	X	X
Security Management	X	X	X	X	X
<b>Shared Analytics Infrastructure</b>					
Extract, Transformation, Load Infrastructure (ETL)		X			X
Data Warehouse and Data Mart database management systems		X			X
Access Tools					X
OLAP Tools					X
Meta Data Management					X
Data Quality Tools					X

### 3. Non-Functional Requirements Validation Objectives

- Assess current processes and progress towards the definition of non-functional requirements, general system design and architectural principles and standards
- Develop recommendations for enhancing processes for developing a set of structured and complete non-functional requirements which will –
  - Be aligned with and traceable to business objectives and strategies
  - Align with current State and Agency standards for such areas as technical architecture, service levels, security, among others
  - Support procurement efforts
  - Guide the design, development and implementation effort

Health Services Enterprise Technical Components	Integrated Eligibility	Health Services Enterprise Core Functional Capabilities			
		Look-up, Search and View Query Results	Referral Management	Collaborative Service Delivery	Notifications and Alerts
<b>Portal</b>					
Access Control	X	X	X	X	X
User Interface	X	X	X	X	X
Search		X	X	X	
Integration Collaboration and Communications	X		X	X	
Document Management	X	X	X	X	
<b>Enterprise Information Exchange</b>					
Data Integration	X	X	X	X	X
MDM and EMPI	X	X	X	X	X
Consent Management	X	X	X	X	X
Security Management	X	X	X	X	X
<b>Shared Analytics Infrastructure</b>					
Extract, Transformation, Load Infrastructure (ETL)		X			X
Data Warehouse and Data Mart database management systems		X			X
Access Tools					X
OLAP Tools					X
Meta Data Management					X
Data Quality Tools					X

### 3. Non-Functional Requirements Validation



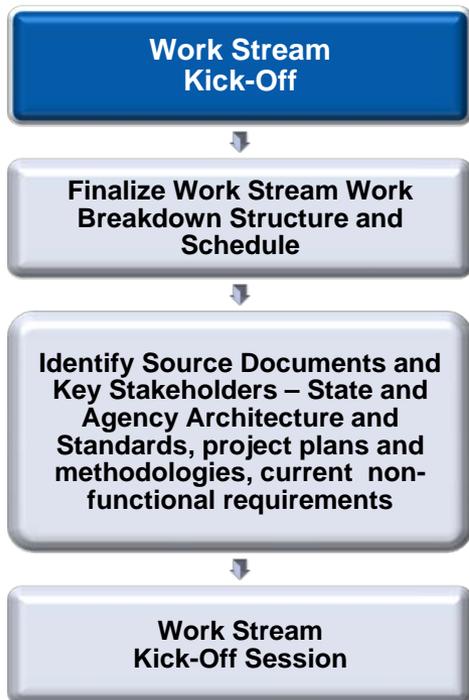
**VT Staff Level of Effort**

- Participation in Kick-Off
- 60 -90 Mins for Interviews (Estimate 2 – 3 staff)
- Provide available documentation
- Participation in one 1/2 day workshop
- Participation in two full day workshops
- Review Deliverables (Anticipate same participants in all workshops)

### 3. Non-Functional Requirements Validation

#### Task 1: Work Stream Kick-Off

---



#### ■ Objectives

- Ensure that expectations and process for the work stream are clear and agreed upon

#### ■ Process

- Meet with core AHS team to finalize detailed work plan and timing and identify the sources of data for the data discovery work

#### ■ Gartner Responsibilities

- Develop kick-off session materials and facilitate session
- Finalize work stream milestone and key deliverables timeline
- Begin discovery activities

#### ■ Vermont Responsibilities

- Ensure active participation from Core Project Team
- Provide relevant documentation, identify key stakeholders and manage meeting logistics

#### ■ Work Product

- Work Stream Plan

#### ■ Timeline

- See Milestones and Key Deliverables Timeline Slides (see slides 9 - 12)

### 3. Non-Functional Requirements Validation

#### Task 2: Data Gathering and Analysis



#### ■ Objectives

- Assess process and outcome of non-functional requirements gathered to date

#### ■ Process

- Review all documents provided by AHS
- Refine assessment and validation framework for Non-Functional Requirements and General Systems Design (GSD) based on Gartner research and best practices
- Conduct key 12 – 15 interviews to clarify open questions and address outstanding issues raised during document review
- Apply assessment and validation framework to identify strengths and gaps in outcome and process
- Develop draft findings for review in GSD and Non-Functional Requirements Assessment Workshop
- Conduct GSD and Non-Functional Requirements Assessment Workshop
- Conduct research and analysis as necessary and refine findings based on feedback received during the Assessment Workshop

### 3. Non-Functional Requirements Validation

#### Task 2: Data Gathering and Analysis, Cont'd



#### ■ Gartner Responsibilities

- Data gathering
- Application of assessment and validation framework
- Facilitate workshop, and refine outcomes based on workshop

#### ■ Vermont Responsibilities

- Provide relevant documentation
- Attend individual and group interviews
- Actively participate in the GSD and Non-Functional Requirements Assessment Workshop

#### ■ Work Product

- Work shop materials
- Draft and final GSD and Non-Functional Requirements Assessment

#### ■ Timeline

- See Milestones and Key Deliverables Timeline Slides (see slides 9 - 12)

### 3. Non-Functional Requirements Validation

#### Task 3: Go Forward Recommendations



#### ■ Objectives

- Develop and present recommendations to enhance the process and outcome of collecting and documenting the GSD and Non-Functional Requirements

#### ■ Process

- Apply Gartner research, prior experience, and workshop outcomes to develop draft recommendations focused on enhancing processes, tools, documentation, and tracing capabilities
- Present recommendations in full day validation workshop
- Refine recommendations to reflect input received during the workshop

#### ■ Gartner Responsibilities

- Develop draft recommendations
- Present recommendations and refine to reflect feedback received from AHS

#### ■ Vermont Responsibilities

- Attend and provide feedback at Recommendations workshop

#### ■ Work Product

- Draft and final recommendations

#### ■ Timeline

- See Milestones and Key Deliverables Timeline Slides (see slides 9 - 12)

### 3. Non-Functional Requirements Validation

#### Task 4: Final Non-Functional Requirements Validation Report and Roadmap

Final Requirements Validation Report and Roadmap



Prepare Final Requirements Validation Report, Recommendations and Roadmap



Conduct ½ Day Final Report Workshop



Submit Final Validation Assessment Report, Recommendations and Roadmap

#### ■ Objectives

- Present final recommendations and action-oriented roadmap for implementing them to core stakeholders

#### ■ Process

- Prepare final recommendations in a detailed report
- Develop an action-oriented roadmap which describes the a number of initiatives required to implement the recommendations including the resources required, key success factors, timeline, and key dependencies
- Review the Recommendations and Roadmap in a ½ day workshop and refine the Roadmap based on the outcome of the workshop

#### ■ Gartner Responsibilities

- Develop workshop materials, recommendations, and roadmap
- Facilitate workshop and refine deliverables based on workshop feedback

#### ■ Vermont Responsibilities

- Attend the workshop and provide feedback

### 3. Non-Functional Requirements Validation

#### Task 4: Final Non-Functional Requirements Validation Report and Roadmap, Cont'd

**Final Requirements Validation Report and Roadmap**



**Prepare Final Requirements Validation Report, Recommendations and Roadmap**



**Conduct ½ Day Final Report Workshop**



**Submit Final Validation Assessment Report, Recommendations and Roadmap**

#### ■ **Work Product**

- Non-Functional Requirements Enhancement Recommendations
- Non-Functional Requirements Enhancement roadmap

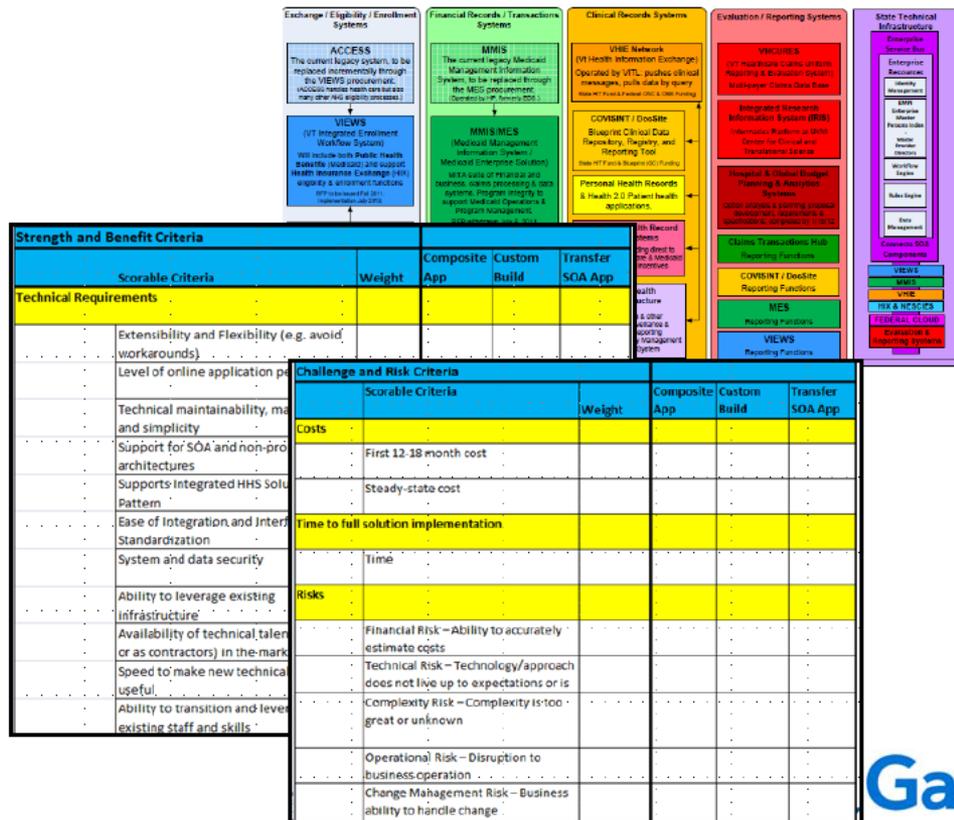
#### ■ **Timeline**

- See Milestones and Key Deliverables Timeline Slides (see slides 9 - 12)

## 4. Alternatives Analysis (AA) Purpose

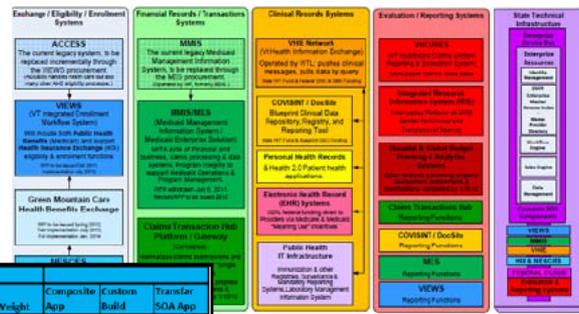
- Alternatives Analysis (AA)** – Driven by the Functional and Non-Functional Requirements, conduct an analysis of the strengths, benefits and risks of alternatives for building out the modular solution pattern for the Vermont Health Services Enterprise using Oracle's 53 Key SOA Infrastructure Components, other essential solution components and development approaches - build ground up, whole cloth transfer, transfer and configure, COTS, combination – AA will be guided through the use of weighted criteria such as –

- Alignment with Blueprint for Health Vision, Strategy and Functional Requirements
- Alignment with Technical and Performance Requirements
- Time to Deployment and Alignment with ACA Timeline
- Costs for Implementation
- Costs for Maintenance and Operations
- Risks



# 4. Alternatives Analysis (AA) Objectives

- Identify the range of alternative technical approaches for building out the modular solution pattern for the Vermont Health Services Enterprise integrating the portfolio of components essential to support the vision for the Blueprint for Health
- Assess the Viability of the Hypothesis for the Transfer of the Oregon Solution and Approach
- Develop a recommendation based on a structured analysis

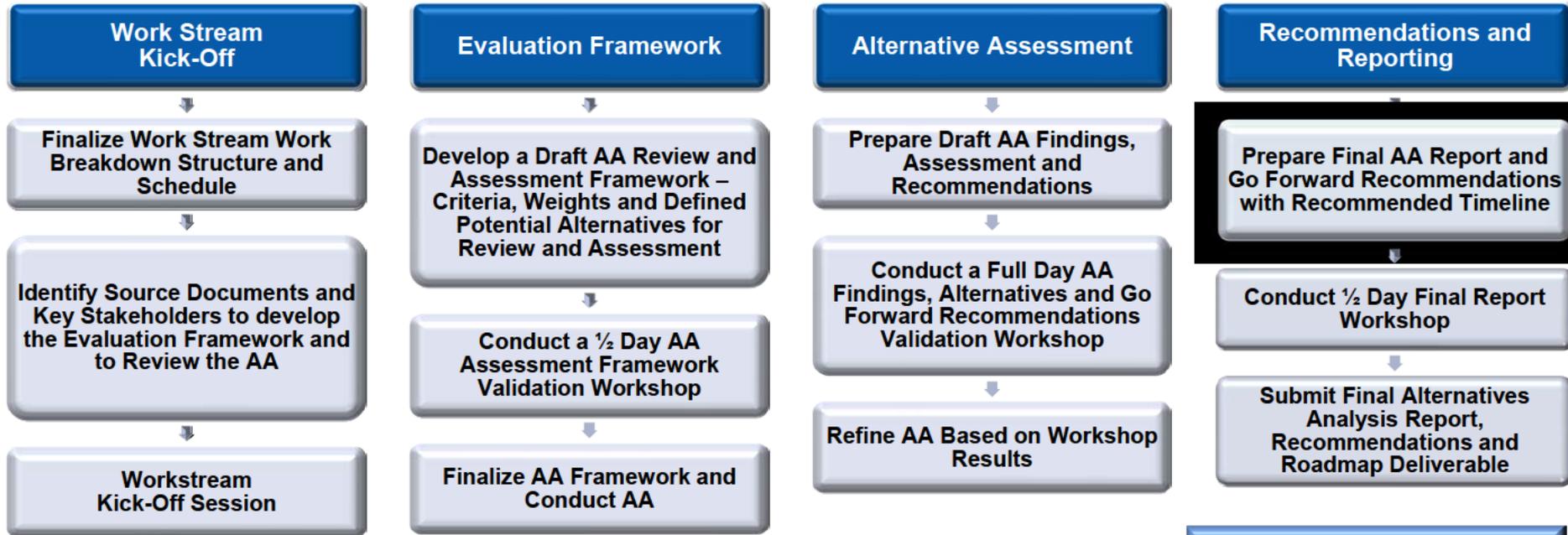


Strength and Benefit Criteria				
Scorable Criteria	Weight	Composite App	Custom Build	Transfer SOA App
<b>Technical Requirements</b>				
Extensibility and Flexibility (e.g. avoid workarounds)				
Level of online application portability				
Technical maintainability, modularity and simplicity				
Support for SOA and non-pro architectures				
Supports integrated HMS SOA patterns				
Ease of integration and Inter-Standardization				
System and data security				
Ability to leverage existing infrastructure				
Availability of technical talent or contractors in the market				
Speed to make new technical useful				
Ability to transition and leverage existing staff and skills				

Challenge and Risk Criteria				
Scorable Criteria	Weight	Composite App	Custom Build	Transfer SOA App
<b>Costs</b>				
First 12-18 month cost				
Steady-state cost				
<b>Time to full solution implementation</b>				
Time				
<b>Risks</b>				
Financial Risk – Ability to accurately estimate costs				
Technical Risk – Technology/approach does not live up to expectations or is too complex				
Complexity Risk – Complexity is too great or unknown				
Operational Risk – Disruption to business operation				
Change Management Risk – Business ability to handle change				

## 4. Alternatives Analysis (AA)



**VT Staff Level of Effort**

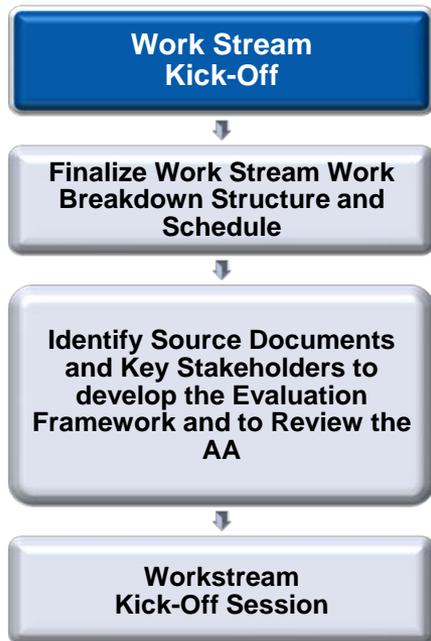
- Participation in Kick-Off
- Provide available documentation
- Potential to complete spreadsheet survey
- Participation in 2 day workshops
- Review Deliverables

(Anticipate same participants in both workshops)

## 4. Alternatives Analysis (AA)

### Task 1: Work Stream Kick-Off

---



#### ■ Objectives

- Ensure that expectations and process for the work stream are clear and agreed upon

#### ■ Process

- Meet with core AHS team to finalize detailed work plan and timing and identify the sources of data for the data discovery work

#### ■ Gartner Responsibilities

- Develop kick-off session materials and facilitate session
- Finalize work stream milestone and key deliverables timeline
- Begin discovery activities

#### ■ Vermont Responsibilities

- Ensure active participation from Core Project Team
- Provide relevant documentation, identify key stakeholders and manage meeting logistics

#### ■ Work Product

- Work Stream Plan

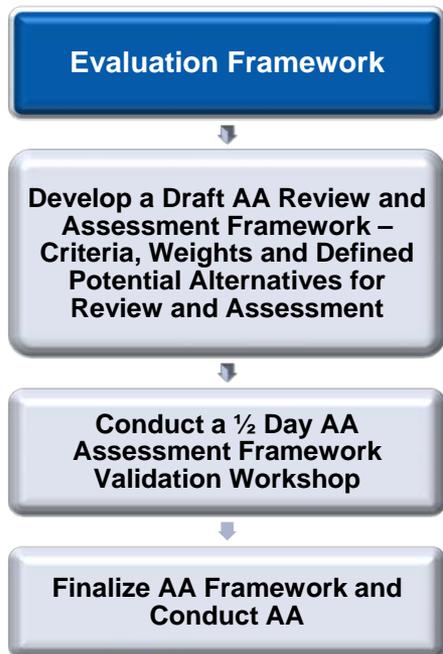
#### ■ Timeline

- See Milestones and Key Deliverables Timeline Slides (see slides 9 - 12)

## 4. Alternatives Analysis (AA)

### Task 2: Evaluation Framework

---



#### ■ Objectives

- Develop an agreed framework and approach to use for assessing alternative approaches

#### ■ Process

- Develop an AA assessment framework based upon:
  - Findings from the Readiness Assessment
  - Oregon Transfer Solution and Approach Hypothesis
  - Gartner Research, Best Practices, and prior experience
- Include key criteria and weighting and scoring algorithms
- Identify range of alternative technical approaches for building out the modular solution pattern for the Vermont Health Services Enterprise
- Review and refine both the framework and the range of alternatives in a workshop with key AHS stakeholders

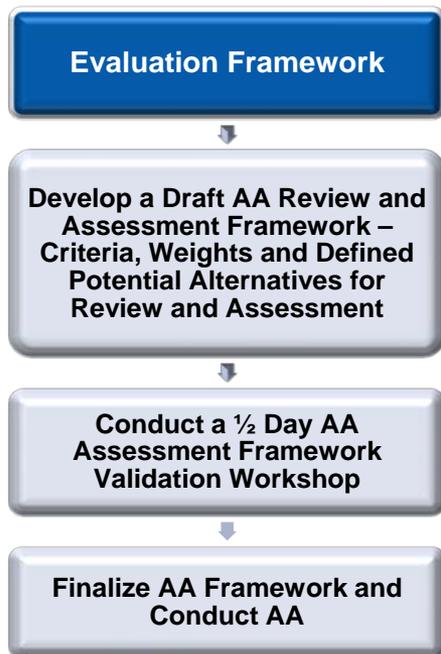
#### ■ Gartner Responsibilities

- Develop analysis and scoring framework
- Identify range of potential alternatives to be considered
- Review and refine framework and range of alternatives in a facilitated workshop

## 4. Alternatives Analysis (AA)

### Task 2: Evaluation Framework, Cont'd

---



#### ■ Vermont Responsibilities

- Review draft framework and range of alternatives
- Participate in Assessment Framework Validation Workshop

#### ■ Work Product

- Refined assessment framework including key criteria and weighting and scoring algorithms
- Descriptions for a complete range of alternatives to be considered
- Description of the Oregon Solution and Approach Transfer Hypothesis

#### ■ Timeline

- See Milestones and Key Deliverables Timeline Slides (see slides 9 - 12)

## 4. Alternatives Analysis (AA)

### Task 3: Alternative Assessment



#### ■ Objectives

- Develop agreed upon approach for building out the modular solution pattern for the Vermont Health Services Enterprise and integrating the portfolio of components essential to support the vision for the Blueprint for Health

#### ■ Process

- Apply assessment framework to range of identified alternatives
- Develop prioritized list of alternatives, identifying strengths and weaknesses of the top priority ones
- Develop workshop material and conduct a full day workshop to review the draft recommendations and select the preferred approach
- Refine the preferred approach based on the feedback provided in the workshop

#### ■ Gartner Responsibilities

- Apply framework and develop prioritized alternative approaches
- Present prioritized list and recommendations in a facilitated workshop

#### ■ Vermont Responsibilities

- Review draft findings and recommendations
- Participate and provide feedback in workshop

## 4. Alternatives Analysis (AA)

### Task 3: Alternative Assessment, Cont'd

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#### ■ Work Product

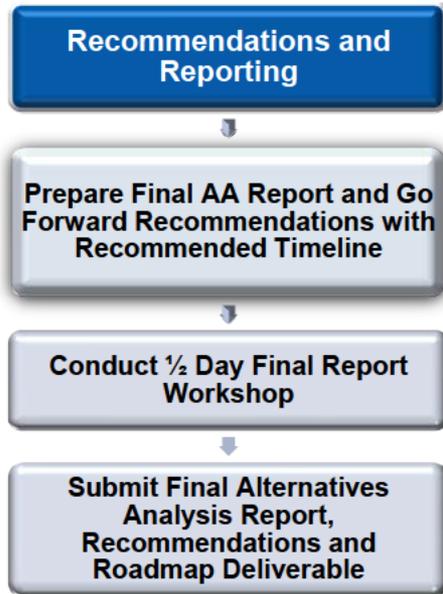
- Workshop materials including descriptions and strengths and weaknesses of approaches in priority order
- Recommended Approach for building out the modular solution pattern for the Vermont Health Services Enterprise integrating the portfolio of components essential to support the vision for the Blueprint for Health

#### ■ Timeline

- See Milestones and Key Deliverables Timeline Slides (see slides 9 - 12)

## 4. Alternatives Analysis (AA)

### Task 4: Alternative Approach Recommendation Report and Roadmap



#### ■ Objectives

- Present recommended approach to building out the modular solution pattern for the Vermont Health Services Enterprise and an action-oriented roadmap for implementing it to core stakeholders

#### ■ Process

- Document recommended approach in a detailed report
- Develop an action-oriented roadmap which describes the overall approach including the resources required, key success factors, timeline, and key dependencies
- Review the Recommended Approach and Roadmap in a 1/2 day workshop and refine the Roadmap based on the outcome of the workshop

#### ■ Gartner Responsibilities

- Develop workshop materials, recommendations, and roadmap
- Facilitate workshop and refine deliverables based on workshop feedback

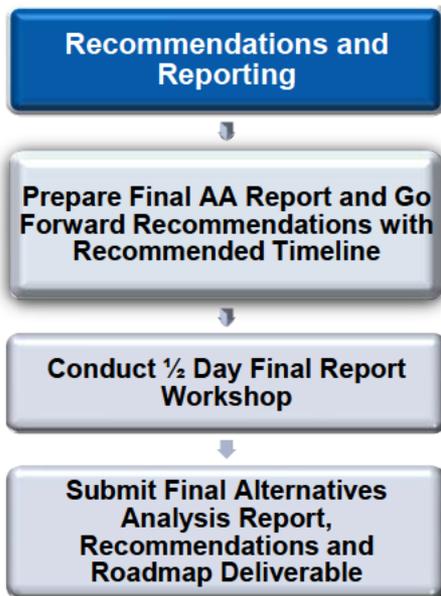
#### ■ Vermont Responsibilities

- Attend the workshop and provide feedback

## 4. Alternatives Analysis (AA)

### Task 4: Alternative Approach Recommendation Report and Roadmap, Cont'd

---



#### ■ Work Product

- Recommended approach to achieving Integrated Eligibility Including HIX
- Recommended Approach and roadmap for building out the modular solution pattern for the Vermont Health Services Enterprise

#### ■ Timeline

- See Milestones and Key Deliverables Timeline Slides (see slides 9 - 12)

## 5. Procurement Strategy and Roadmap Purpose

---

- **Procurement Strategy and Roadmap** – Develop a procurement strategy and roadmap (timeline), based on results of the Alternatives Analysis and aligned with key dependencies – *time, cost, staffing and capabilities* – focusing on both in and out sourcing alternatives – and the critical sequencing necessary -

- **What Needs to Get Procured?**

- Technology
  - License extension for current technology components
  - Net new technology components and licenses
  - Hardware
- Services (DDI, training, deployment) – in areas such as -
  - Gateway development and implementation, workflow management and development of collaboration services
  - Information exchange implementation (e.g. service bus, registries, services / integration / interfaces)
  - Master Data Management, EMPI, Security, Consent Management, etc.
  - Legacy system interface / integration development
  - Business Intelligence platform implementation, data stores, warehouse and marts and query / analytic tools and development
- Hosting Components
- Maintenance and Operations

- **Sourcing Strategy**

- What will be In-Sourced
  - Tools and Technical Capabilities
  - Staffing
- What needs to be Out-Sourced
  - Tools and Technical Capabilities
  - Staffing and/or Systems Integrator

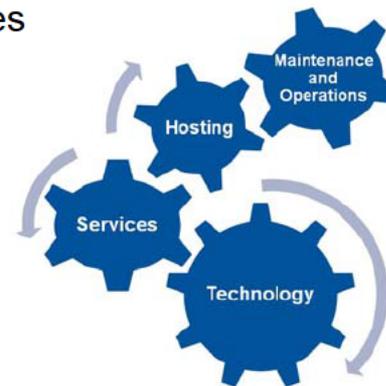
- **Procurement Vehicles**

- Request for Information (RFI)
- Request for Qualifications (RFQ)
- Master Service Agreement/Contract
- Single or Multiple Request for Proposal (RFP)

- **Procurement Timeline and Dependencies**

## 5. Procurement Strategy and Roadmap Objectives

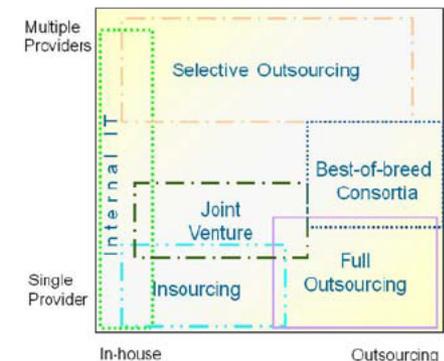
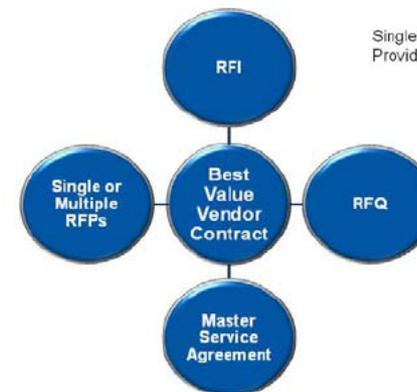
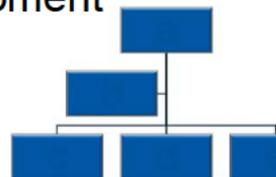
- Develop a procurement strategy and roadmap (timeline), driven by the defined Functional and Non-Functional Requirements and based on results of the Alternatives Analysis
- Ensure procurement strategy is aligned with key dependencies, for example -
  - Alignment with Health Services Enterprise and Blueprint for Health Business Imperatives and Needs
  - Compliance with Federal and State Time Lines
  - Best Value Cost – Implementation and Maintenance and Operations
  - Viable within State Staffing and Capabilities Constraints
  - Sourcing Preferences



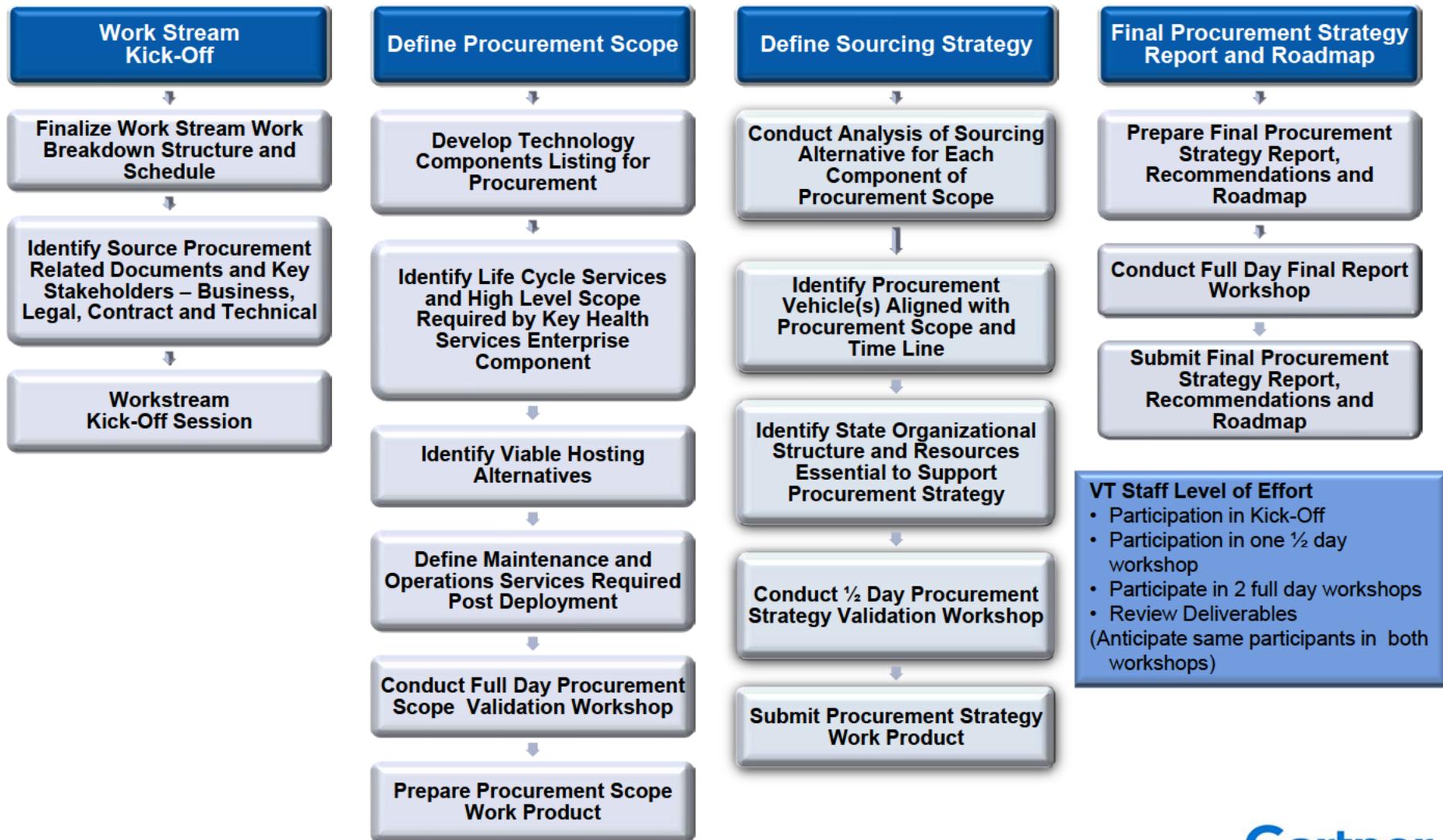
- Define Procurement Components – *What needs to be procured?*
- Identify Essential Procurement Vehicles

- Define the Proposal Development Organizational Needs

- Structure
- Staffing
- Legal and Contract Support



## 5. Procurement Strategy and Roadmap



## 5. Procurement Strategy and Roadmap

### Task 1: Work Stream Kick-Off

---



#### ■ Objectives

- Ensure that expectations and process for the work stream are clear and agreed upon

#### ■ Process

- Meet with core AHS team to finalize detailed work plan and timing and identify the sources of data for the data discovery work

#### ■ Gartner Responsibilities

- Develop kick-off session materials and facilitate session
- Finalize work stream milestone and key deliverables timeline
- Begin discovery activities

#### ■ Vermont Responsibilities

- Ensure active participation from Core Project Team
- Provide relevant documentation, identify key stakeholders and manage meeting logistics

#### ■ Work Product

- Work Stream Plan

#### ■ Timeline

- See Milestones and Key Deliverables Timeline Slides (see slides 9 - 12)

## 5. Procurement Strategy and Roadmap

### Task 2: Define Procurement Scope



#### ■ Objectives

- Identify key technology and service elements to be procured, and high level alternatives available

#### ■ Process

- Based on the prior tasks define the key elements to be procured and high level alternatives available based on current technologies and standards in place, including –
  - Technology components – largely software
  - Design, Development, Integration (DDI), process change and change management services
  - Hosting services
  - Maintenance and Operations (M&O) services
- Review the elements and the high level alternatives in a full day Procurement Scope Validation workshop
- Refine the Procurement Scope based on the feedback received in the workshop

## 5. Procurement Strategy and Roadmap

### Task 2: Define Procurement Scope, Cont'd



#### ■ Gartner Responsibilities

- Develop the inventory of key technologies and services to be procured, along with an analysis of current capabilities and standards
- Review and refine Procurement Scope in a facilitated Procurement Scope Validation workshop

#### ■ Vermont Responsibilities

- Review draft findings
- Attend and actively participate in the Procurement Scope Validation workshop

#### ■ Work Product

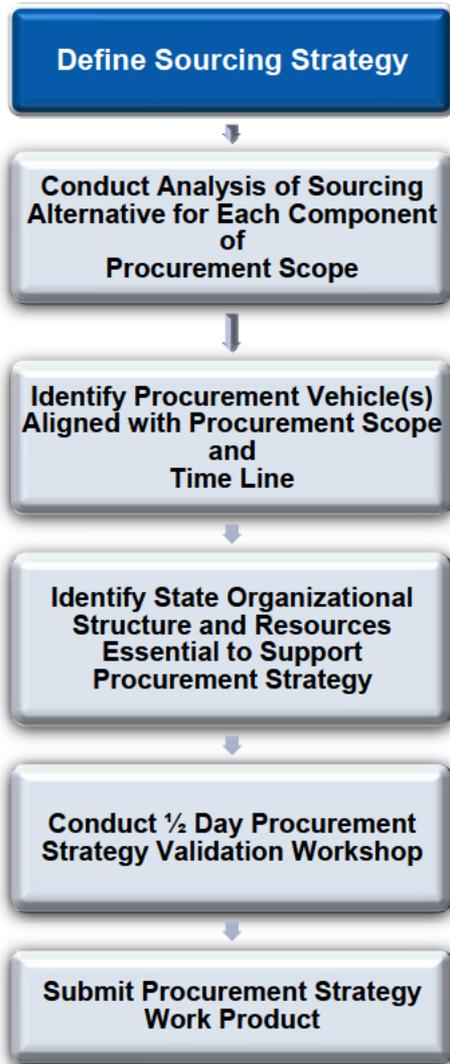
- Validate Procurement Scope – an inventory of key technologies and services to be procured, along with an analysis of current Vermont capabilities and standards which apply to them

#### ■ Timeline

- See Milestones and Key Deliverables Timeline Slides (see slides 9 - 12)

## 5. Procurement Strategy and Roadmap

### Task 3: Define Sourcing Strategy



#### ■ Objectives

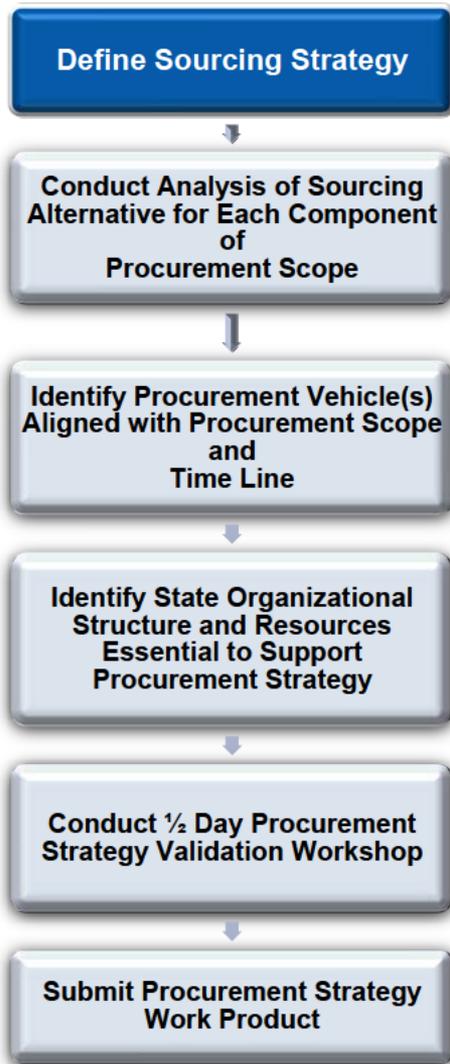
- Identify an integrated strategy for sourcing all of the necessary technologies and services in an expeditious and cost effective manner

#### ■ Process

- Analyze alternatives for sourcing each component to be procured
- Identify the relevant procurement vehicle(s) for each individual element and for those that should most effectively be procured as a bundle
- Develop high level plan for the procurement(s) which identifies
  - Key elements
  - Tasks and timing
  - Dependencies
  - Organizational structure and resources necessary to implement the strategy
- Review the Procurement Strategy in a 1/2 day Procurement Strategy Validation Workshop
- Refine the Procurement Strategy based on feedback received in the workshop

## 5. Procurement Strategy and Roadmap

### Task 3: Define Sourcing Strategy, Cont'd



#### ■ Gartner Responsibilities

- Develop overall strategy for individual and bundled procurements including high level plan
- Validate and refine the strategy during a facilitated workshop

#### ■ Vermont Responsibilities

- Review draft strategy
- Attend at and participate in Procurement Strategy Validation Workshop

#### ■ Work Product

- Procurement Strategy

#### ■ Timeline

- See Milestones and Key Deliverables Timeline Slides (see slides 9 - 12)

## 5. Procurement Strategy and Roadmap

### Task 4: Final Procurement Strategy Report and Roadmap

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#### ■ Objectives

- Present final recommendations and roadmap for Procurement Strategy to core stakeholders

#### ■ Process

- Prepare detailed recommendations and roadmap to achieve procurement strategy
- Review strategy, detailed recommendations, and overall roadmap (which includes the initiatives and tasks, resources required, key success factors, timeline, and key dependencies) in a full day workshop and refine the Roadmap based on the outcome of the workshop

#### ■ Gartner Responsibilities

- Develop workshop materials, recommendations, and roadmap
- Facilitate workshop and refine deliverables based on workshop feedback

#### ■ Vermont Responsibilities

- Attend the workshop and provide feedback

#### ■ Work Product

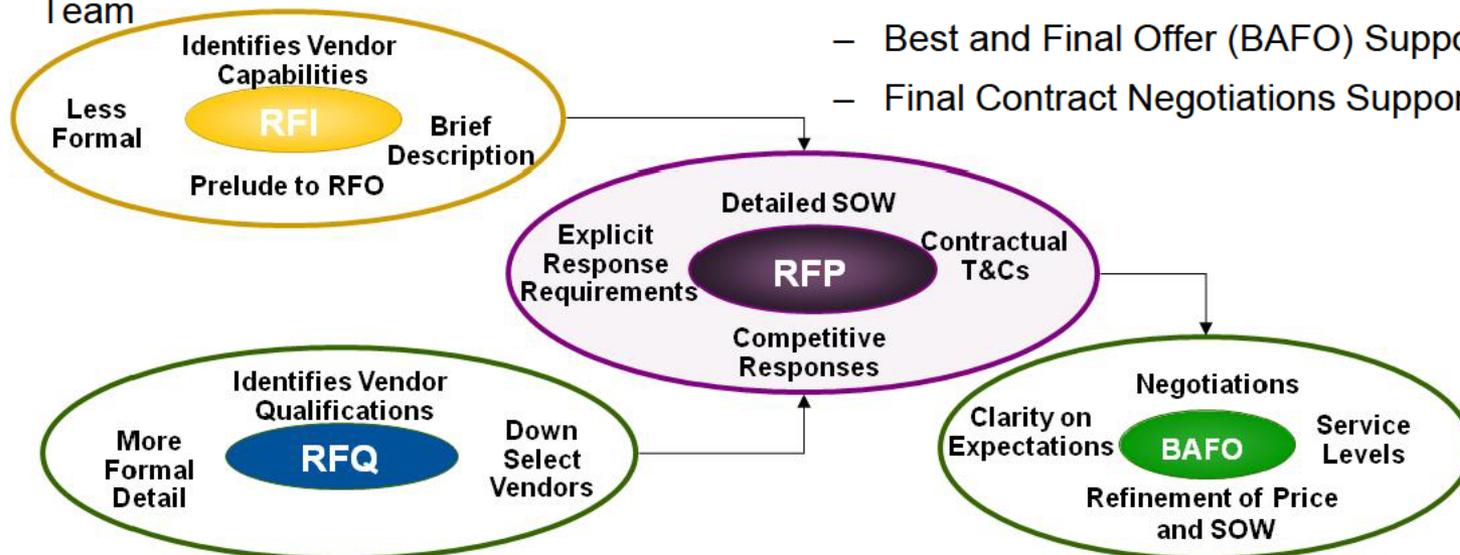
- Agreed upon Procurement Strategy and Roadmap

#### ■ Timeline

- See Milestones and Key Deliverables Timeline Slides (see slides 9 - 12)

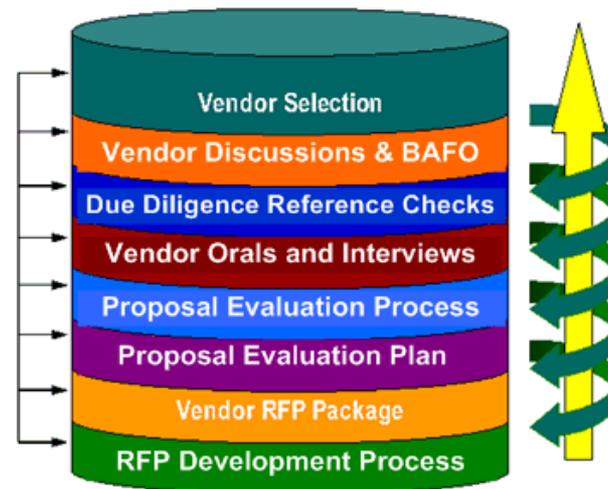
## 6. Procurement Assistance Purpose

- **Procurement Assistance** – Providing procurement support for going to market for the Health Services Enterprise key components and services. This support will include -
  - Developing RFI (if necessary)
  - Developing Request for Qualifications (if necessary) – can be integrated into RFP
  - Developing RFP (or multiple RFPs)
  - Procurement Evaluation Process and Criteria
  - Development of Proposal Evaluation Tools – For Both Technical and Cost Proposal
  - Training of Vermont’s Proposal Evaluation Team
  - Facilitation Support of Proposal Evaluation to Identify Down Selected Vendors (“Short List”)
  - Support Development of Agenda and Questions for Orals with Down Selected Vendors
  - Develop Corporate Reference Template and Questions
  - Develop Key Personnel Reference Template and Questions
  - Best and Final Offer (BAFO) Support
  - Final Contract Negotiations Support



## 6. Procurement Assistance Objectives

- Development of RFP and Proposal Review Best Practices to Support Vermont in -
  - Building out the envisioned Vermont Human Services Enterprise and its Components in support of the Blueprint for Health
  - Developing a Comprehensive RFP Package – RFP Master; Attachments; Procurement Library; and RFP Scope of Work; Functional and Non-Functional Requirement; Service Levels; Hosting Requirements, and Terms and Conditions (T&Cs)
  - Establishing an Effective Proposal Evaluation Framework, Plan and Methodologies
  - Planning and Facilitating the Vendor Orals, Best and Final Offer (BAFO) and Contract Discussions
  - Supporting Final Vendor Selection and the Establishment of the Contract Negotiation Baseline
  - Providing a RFP, Vendor Response and Contract that Minimizes the Potential for “Change Orders”
- Ensure an Open Competitive Process – Supporting the State in ensuring a fair and openly competitive process through the development of a thorough and concise RFP and a rigorous and transparent proposal evaluation process with detailed documentation trail for supporting the State’s selection of the Best Value “Vendor of Choice”

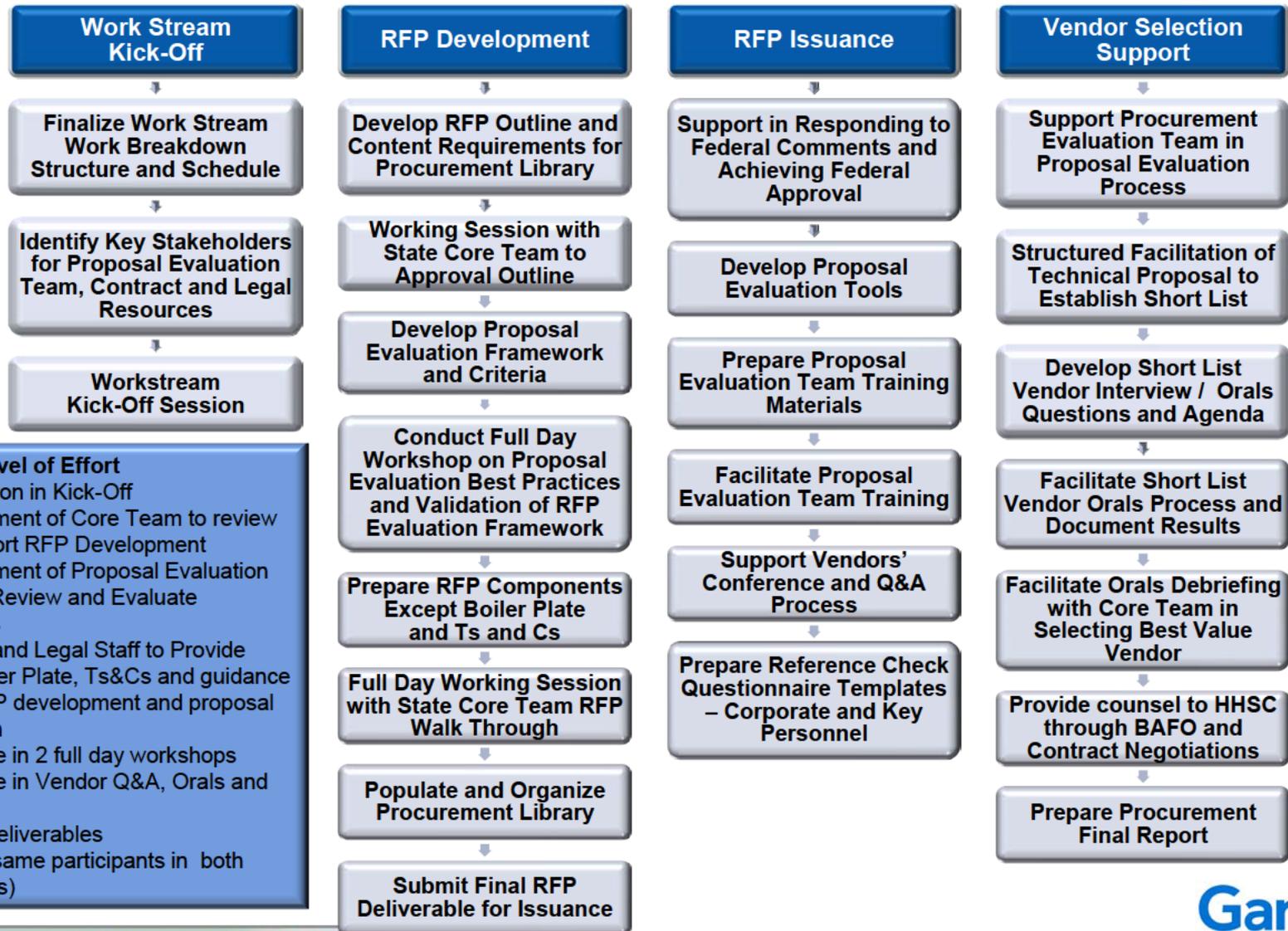


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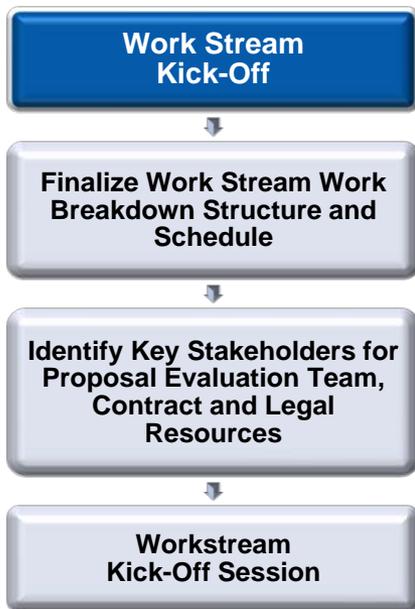
## 6. Procurement Assistance



## 6. Procurement Assistance

### Task 1: Work Stream Kick-Off

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#### ■ Objectives

- Ensure that expectations and process for the work stream are clear and agreed upon

#### ■ Process

- Meet with core AHS team to finalize detailed work plan and timing and identify the sources of data for the data discovery work

#### ■ Gartner Responsibilities

- Develop kick-off session materials and facilitate session
- Finalize work stream milestone and key deliverables timeline
- Begin discovery activities

#### ■ Vermont Responsibilities

- Ensure active participation from Core Project Team
- Provide relevant documentation, identify key stakeholders and manage meeting logistics

#### ■ Work Product

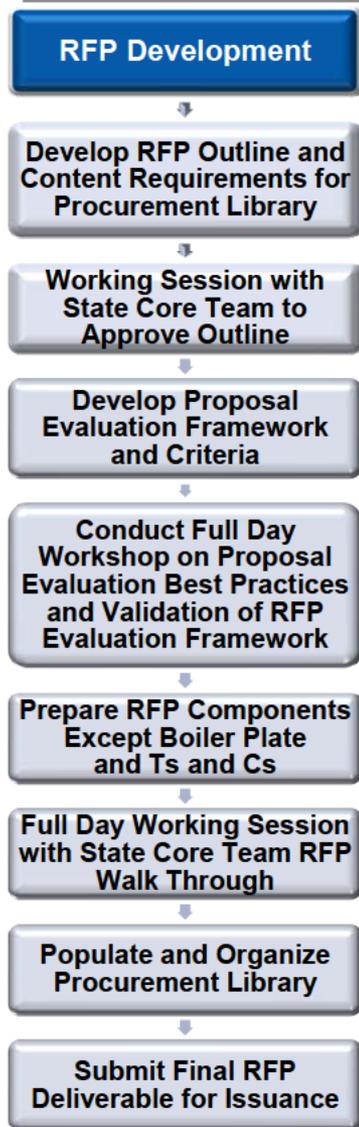
- Work Stream Plan

#### ■ Timeline

- See Milestones and Key Deliverables Timeline Slides (see slides 9 - 12)

## 6. Procurement Assistance

### Task 2: RFP Development



#### ■ Objectives

- Develop up to three RFP documents to procure the technologies and services defined in the Procurement Strategy

#### ■ Process

- Use existing Vermont standards and text augmented by Gartner Best Practices collateral, and customized verbiage to develop an outline and content requirements for a procurement library which can be used to develop the necessary RFP(s)
- Conduct a working session with the AHS core team to refine the approve the outline and the standards necessary to satisfy AHS and Vermont policies and practices
- Develop evaluation frameworks and criteria for up to three RFPs
- Conduct full day workshop on Proposal Evaluation Best Practices and to validate the RFP Evaluation Framework
- Develop content for the RFP which specifies process, requirements, and evaluation process (all content except standard terms and conditions)
- Create a structured procurement library which will be referred to in the RFP and in the evaluation process
- Conduct a full day working session with AHS Core Team to walk through the RFP

## 6. Procurement Assistance

### Task 2: RFP Development, Cont'd



#### ■ Gartner Responsibilities

- Develop documentation (see Work Product below)
- Review documentation with AHS core team
- Refine documentation to incorporate feedback

#### ■ Vermont Responsibilities

- Provide AHS or Vermont structure (if available)
- Provide content for standard terms and conditions
- Review and approve RFP(s) and evaluation framework(s)
- Accept RFP for issuance to the market place

#### ■ Work Product

- RFP outline, and up to three RFP(s)
- Evaluation Framework
- Procurement Library

#### ■ Timeline

- See Milestones and Key Deliverables Timeline Slides (see slides 9 - 12)

## 6. Procurement Assistance

### Task 3: RFP Issuance



#### ■ Objectives

- Issue the RFP(s) to the market place

#### ■ Process

- Obtain Federal approval for RFP documents and process
- Develop and deliver materials and training to evaluators to ensure fair, open and structured evaluation including –
  - Proposal Evaluation Tools
  - Reference questionnaires and templates
  - Scoring sheets
- Conduct a vendors' conference and Q&A process if necessary

#### ■ Gartner Responsibilities

- Support AHS in responding to Federal comments
- Facilitate evaluator training
- Support the Vendors' conference

#### ■ Vermont Responsibilities

- Address Federal comments
- Lead Vendors' conference
- Arrange logistics for, and attend evaluator training

## 6. Procurement Assistance

### Task 3: RFP Issuance, Cont'd

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#### ■ Work Product

- Evaluator tools
- Evaluator training
- Material to support responding to Federal comments, and Vendor conference

#### ■ Timeline

- See Milestones and Key Deliverables Timeline Slides (see slides 9 - 12)

## 6. Procurement Assistance

### Task 4: Vendor Selection



#### ■ Objectives

- Select the highest value proposal for AHS and Vermont

#### ■ Process

- The AHS team will evaluate the responses and make a recommendation as to the highest value vendor proposal
- Gartner will support the Procurement Evaluation Team in the proposal evaluation process as follows –
  - Conduct a structure evaluation of the Technical Proposals to establish a short list using the evaluation framework
  - Conduct short list vendor interviews or “Orals”
  - Facilitate the selection of the highest value proposals and support the Best and Final Offer (BAFO) process and Contract Negotiations
  - Develop a Procurement Final Report and present to relevant executive bodies for approval and execution

## 6. Procurement Assistance

### Task 4: Vendor Selection, Cont'd



#### ■ Gartner Responsibilities

- Gartner will support the Procurement Evaluation Team in the proposal evaluation process as follows –
  - Facilitate the evaluation of the Technical Proposals to establish a short list
  - Develop Short List Vendor Interview / Orals Questions and Agenda
  - Facilitate Short List Vendor Orals Process and debriefing, and document results
  - Provide counsel to HHSC through BAFO and Contract Negotiations
  - Prepare Procurement Final Report

#### ■ Vermont Responsibilities

- The AHS team will conduct the evaluation of the the responses and make a recommendation as to the highest value vendor proposal as follows –
  - Evaluate Technical Proposals to establish a short list using the evaluation framework
  - Conduct short list vendor interviews or Orals
  - Conduct BAFO process and Contract Negotiations

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## 6. Procurement Assistance

### Task 4: Vendor Selection, Cont'd

#### Vendor Selection Support

Support Procurement Evaluation Team in Proposal Evaluation Process

Structured Facilitation of Technical Proposal to Establish Short List

Develop Short List Vendor Interview / Orals Questions and Agenda

Facilitate Short List Vendor Orals Process and Document Results

Facilitate Orals Debriefing with Core Team in Selecting Best Value Vendor

Provide counsel to HHSC through BAFO and Contract Negotiations

Prepare Procurement Final Report

#### ■ Work Product

- Proposal evaluation summary
- Vendor interview debriefing notes
- Final Procurement Report

#### ■ Timeline

- See Milestones and Key Deliverables Timeline Slides (see slides 9 - 12)

## 7. Quality Assurance Oversight Role Purpose

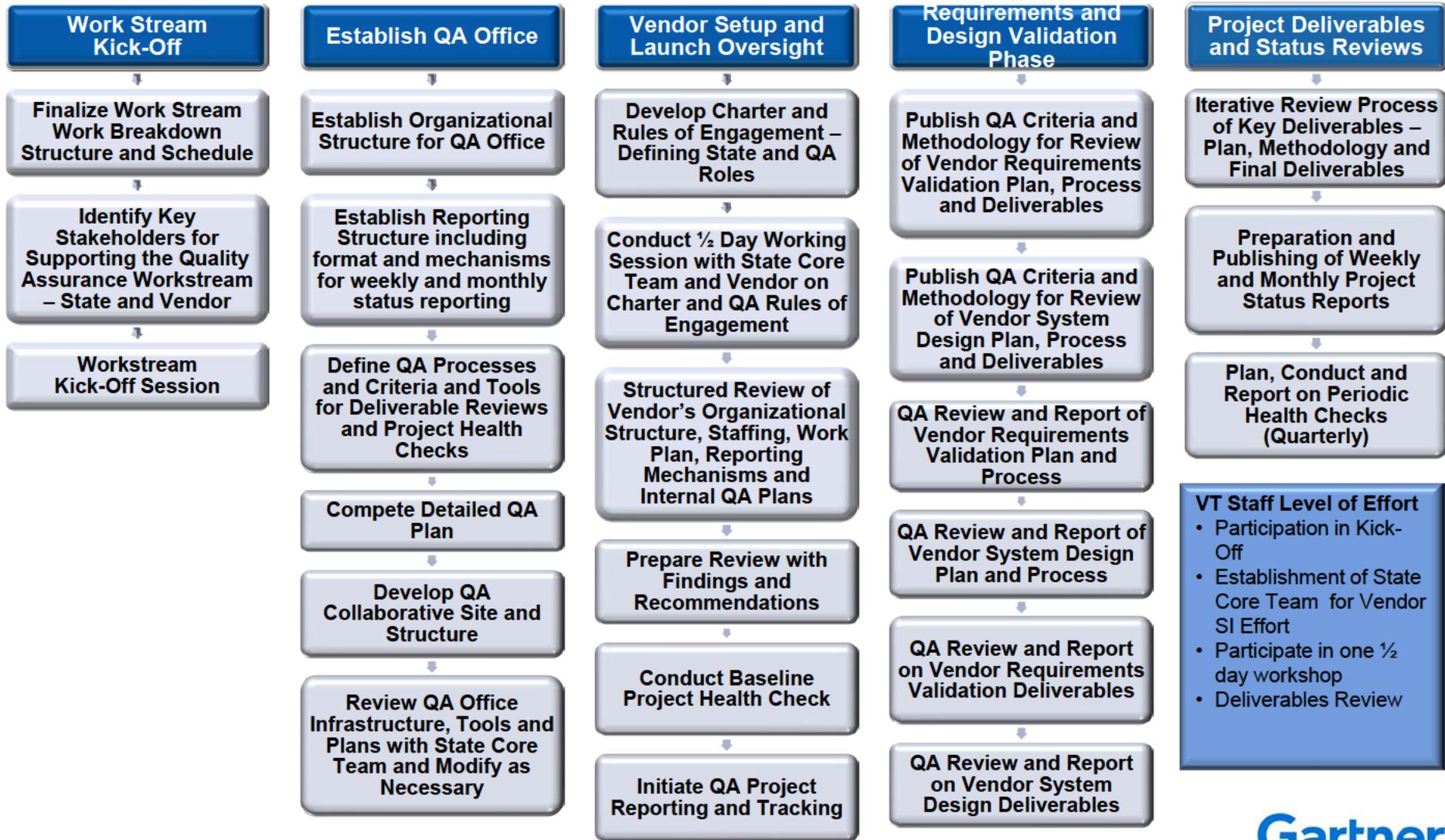
- **Quality Assurance Oversight Role** – Provide a milestone approach for the quality assurance oversight assessments of key deliverables/processes of the vendors’ work efforts – Vendors on board and that they may secure during Gartner’s engagement. The QA approach and methodology will focus on -
  - **Setup and Launch Quality Assurance (QA) Office** - Prior to the final selection of the Vendor, establish the infrastructure to perform quality assurance oversight
  - **Oversight and Monitoring of Vendor Project Setup and Launch** Providing on-site oversight and monitoring of the establishment of the Vendor Project Management Office, processes and start-up deliverables – system requirements and general system design - including -
    - Identifying and raising issues and risks with the proposed approach.
    - Refining and enhancing the process for deliverable reviews.
    - Validating vendor methodology and project processes.
    - Providing deliverable inspection reports
  - **Requirements and Design Validation** - Based upon the Functional and Non-Functional Requirements established by the State as a starting point, ensure vendor’s fidelity to the State’s requirements and the final contract – including -
    - Validating requirements and change management processes for business and system requirements used to develop the next generation system.
    - System design and architecture requirements
    - Providing deliverable inspection reports
  - **Project and Deliverable Reviews** – Conduct reviews of key deliverables – including -
    - Confirming standards and acceptance criteria for all deliverables to be delivered by the vendor
    - Assessing software development activities against industry standards such as ITIL and CMMI and providing reports of these assessments with actionable recommendations
    - Escalating risks and issues with recommended risk mitigation and avoidance plans;
    - Providing deliverable inspection reports

## 7. Quality Assurance Oversight Role Objectives

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- Quality assurance oversight assessments of the vendors' work efforts focusing on –
  - Confirming that the software and components meet the State's needs
  - Confirming that the system is well engineered and meets all requirements
  - Preventing, Detecting, and Mitigating project risks
- Review project planning deliverables to ensure they are sufficient and meet applicable project standards
- Review ongoing project processes, methods and activities
- Provide technical review and verification of key project milestones and deliverables
- Provide independent review of project deliverables against requirements
- Anticipate and identify project risks and monitor the project risk management process
- Offer suggestions for problem and issue resolution
- Provide monthly review and recommendations the State's Core Team regarding project status and risk anticipation, prevention and mitigation
- Provide periodic review and recommendations to the Project Director regarding project status and risk anticipation, prevention and mitigation

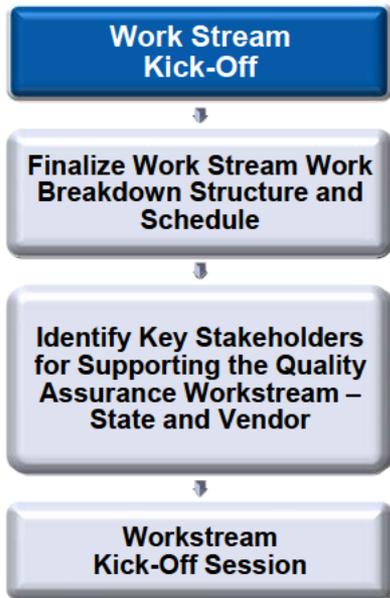
# 7. Quality Assurance Oversight



- VT Staff Level of Effort**
- Participation in Kick-Off
  - Establishment of State Core Team for Vendor SI Effort
  - Participate in one 1/2 day workshop
  - Deliverables Review

## 7. Quality Assurance Oversight Role

### Task 1: Work Stream Kick-Off



#### ■ Objectives

- Ensure that expectations and process for the work stream are clear and agreed upon

#### ■ Process

- Meet with core AHS team to finalize detailed work plan and timing and identify the sources of data for the data discovery work

#### ■ Gartner Responsibilities

- Develop kick-off session materials and facilitate session
- Finalize work stream milestone and key deliverables timeline
- Begin discovery activities

#### ■ Vermont Responsibilities

- Ensure active participation from Core Project Team
- Provide relevant documentation, identify key stakeholders and manage meeting logistics

#### ■ Work Product

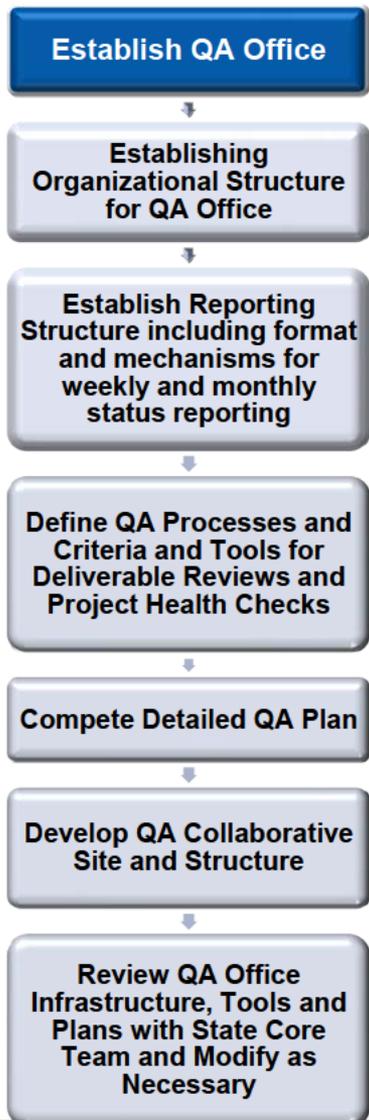
- Work Stream Plan

#### ■ Timeline

- See Milestones and Key Deliverables Timeline Slides (see slides 9 - 12)

## 7. Quality Assurance Oversight Role

### Task 2: Establish QA Office



#### ■ Objectives

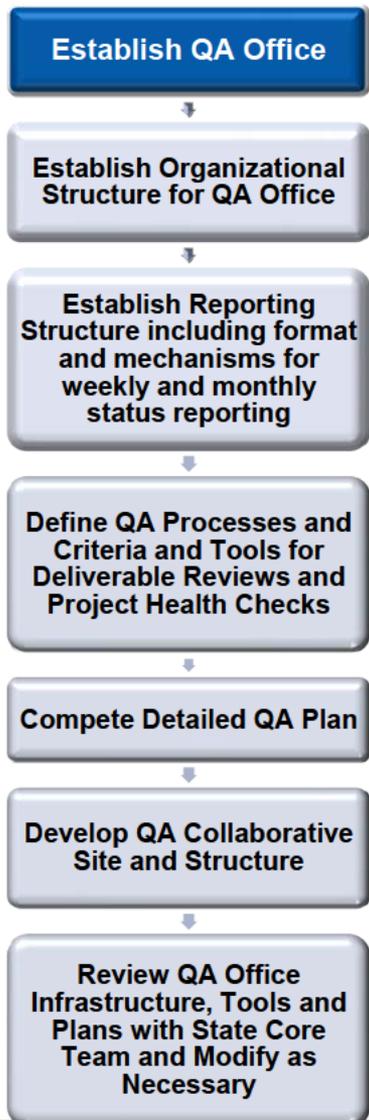
- Establish an efficient structure and process to provide the milestone approach to quality assurance oversight assessments of key deliverables/processes

#### ■ Process

- Using Gartner standard QA frameworks and tools, design and document an organizational and reporting structure for the QA Office including –
  - Refinement and customization to account for AHS culture, capability, and key issues and objectives
  - Format and mechanisms for weekly, monthly, and milestone status reporting
  - QA Processes and Criteria for evaluation
  - Tools for Deliverable Reviews and Project Health Checks
  - A detailed QA Plan
  - On line tool and repository for QA reporting and collaboration
- Review the proposed tools, methodologies, infrastructure, reporting mechanisms and schedule with the AHS Core Team and modify as necessary

## 7. Quality Assurance Oversight Role

### Task 2: Establish QA Office, Cont'd



#### ■ Gartner Responsibilities

- Develop and document organizational and reporting structure for the QA Office

#### ■ Vermont Responsibilities

- Ensure active participation from Core Project Team
- Provide relevant documentation, identify key stakeholders and manage meeting logistics

#### ■ Work Product

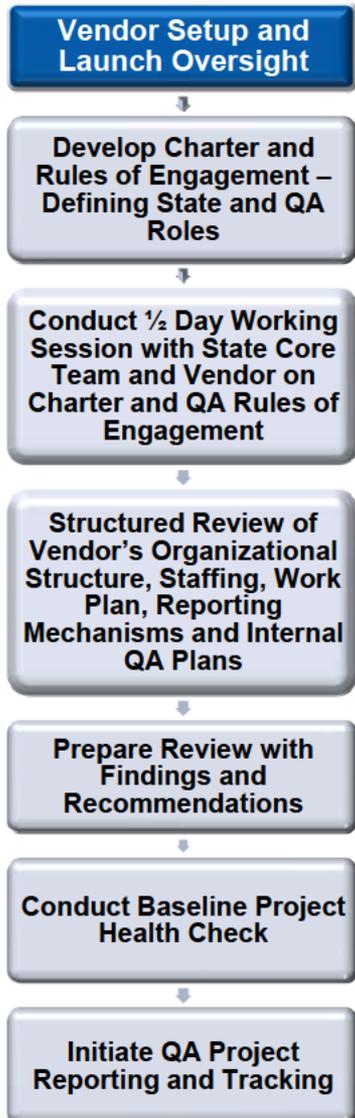
- Organizational and reporting structure for the QA Office

#### ■ Timeline

- See Milestones and Key Deliverables Timeline Slides (see slides 9 - 12)

## 7. Quality Assurance Oversight Role

### Task 3: Vendor Setup and Launch Oversight



#### ■ Objectives

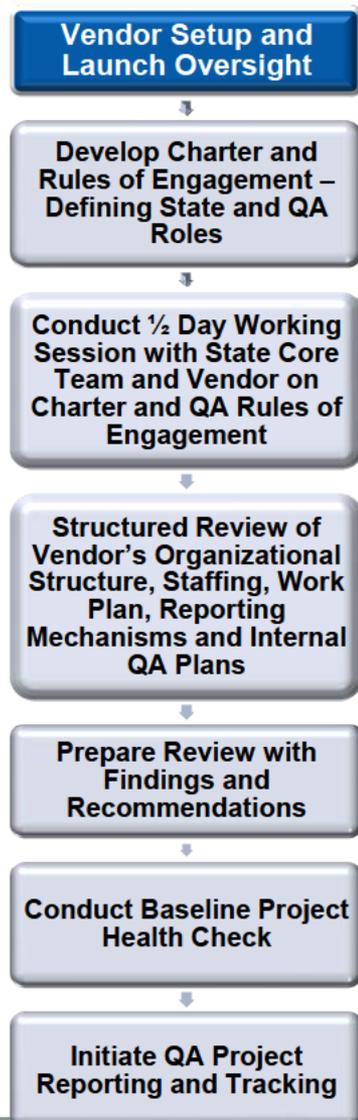
- Conduct initial baseline review

#### ■ Process

- Review and agree upon overall QA process and roles and responsibilities for AHS, Gartner, Vendor, other external stakeholders
- Conduct initial review of Vendor plan including structured reviews of –
  - Vendor’s Organizational Structure,
  - Staffing,
  - Work Plan,
  - Reporting Mechanisms and
  - Internal QA Plans
- Conduct baseline project Health Check which includes an assessment of Vendor plans, processes, and capabilities compared to AHS capabilities, responsibilities, and internal processes
- Deliver baseline assessment, initial review findings and recommendations, and initial QA assessment and tracking reports

## 7. Quality Assurance Oversight Role

### Task 3: Vendor Setup and Launch Oversight, Cont'd



#### ■ Gartner Responsibilities

- Review and agree upon overall QA process and roles and responsibilities
- Conduct initial vendor review
- Develop baseline Health Check
- Present findings and recommendations to AHS core team

#### ■ Vermont Responsibilities

- Review and agree upon overall QA process and roles and responsibilities
- Facilitate engagement with vendor
- Participate in initial baseline health check
- Review baseline assessment and initial findings and recommendations

#### ■ Work Product

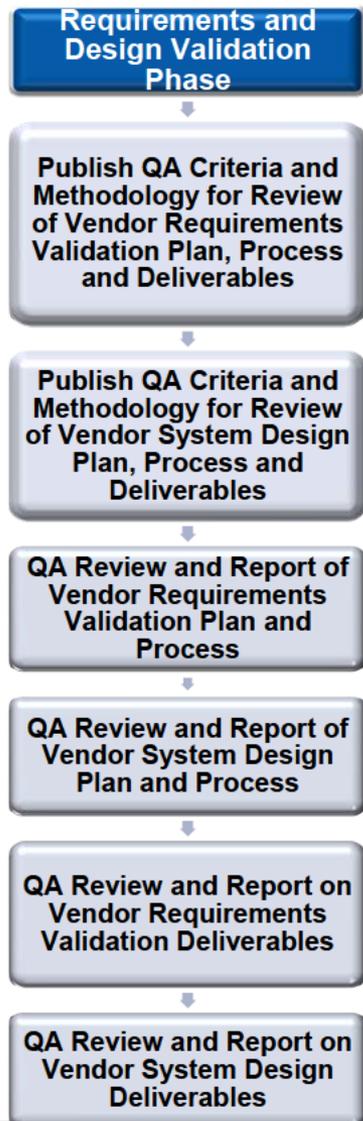
- QA Charter and Rules of Engagement
- QA roles, responsibilities, and overall AHS / Gartner governance and reporting processes
- Initial review of Vendor plan
- Baseline project Health Check
- Findings and recommendations,
- Initial QA assessment and tracking reports

#### ■ Timeline

- See Milestones and Key Deliverables Timeline Slides (see slides 9 - 12)

## 7. Quality Assurance Oversight Role

### Task 4: Requirements and Design Validation



#### ■ Objectives

- Conduct major milestone review of vendor requirements and design validation process

#### ■ Process

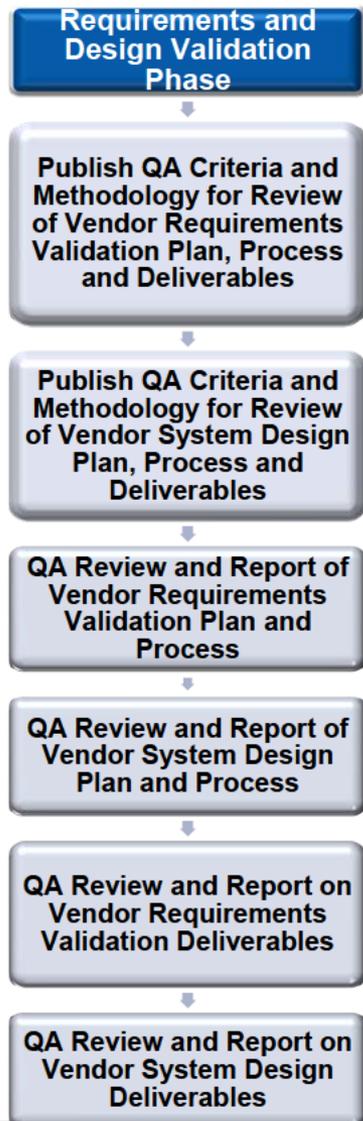
- Develop and review the QA Criteria and Methodology with AHS and the vendor for
  - Vendor Requirements Validation Plan, Process and Deliverables
  - Vendor System Design Plan, Process and Deliverables
- Conduct QA review and develop report on the Vendor
  - Requirement validation plan and process and system design plan and process
  - Requirements validation deliverables and system design deliverables

#### ■ Gartner Responsibilities

- Develop and publish criteria and methodology
- Refine criteria and methodology based on AHS feedback
- Conduct QA assessments
- Develop and present QA reports to AHS

## 7. Quality Assurance Oversight Role

### Task 4: Requirements and Design Validation, Cont'd



#### ■ Vermont Responsibilities

- Review and provide feedback on QA methodology and criteria
- Review QA assessments reports

#### ■ Work Product

- QA Criteria and Methodology
- QA reports on the Vendor
  - Requirement validation plan and process
  - System design plan and process
  - Requirements validation deliverables and system design deliverables

#### ■ Timeline

- See Milestones and Key Deliverables Timeline Slides (see slides 9 - 12)

## 7. Quality Assurance Oversight Role

### Task 5: Project Deliverables and Status Reviews

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#### Project Deliverables and Status Reviews

Iterative Review Process of Key Deliverables – Plan, Methodology and Final Deliverables

Preparation and Publishing of Weekly and Monthly Project Status Reports

Plan, Conduct and Report on Periodic Health Checks (Quarterly)

#### ■ Objectives

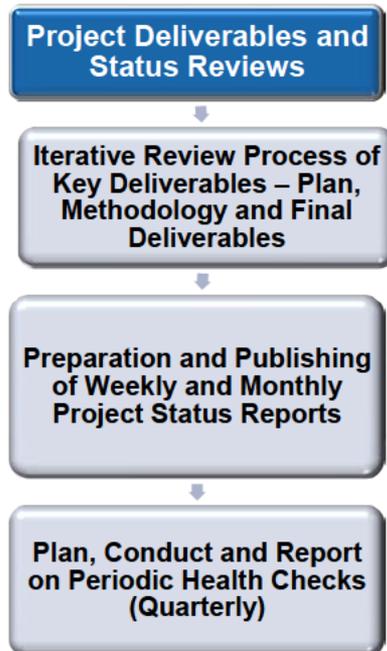
- Conduct ongoing major milestone reviews of key deliverables and outcomes

#### ■ Process

- Quarterly – Plan, conduct and deliver report on quarterly health checks which include structured reviews of
  - Progress to date against expectations,
  - Reviews of risks and issues recorded
  - Plans to mitigate and manage the risks and issues
  - Assessment of project management processes and outcomes
  - Assessment of project deliverables
- On a milestone basis
  - Conduct technical review and verification of key project milestones and deliverables such as project plans, test plans, user acceptance, training
  - Independent review of key project deliverables against requirements

## 7. Quality Assurance Oversight Role

### Task 5: Project Deliverables and Status Reviews, Cont'd



#### ■ Process, Continued

- Ongoing
  - Anticipate and identify project risks and monitor the project risk management process
  - Provide monthly review and recommendations the State's Core Team regarding project status and risk anticipation, prevention and mitigation
- For each of the interventions provide a findings report and recommendations for course corrections and for problem and issue resolution as appropriate

#### ■ Gartner Responsibilities

- Conduct quarterly, milestone-based, and ongoing proactive reviews
- Develop findings reports and recommendations for each interaction and review
- Prepare and publish weekly and monthly project status reports

#### ■ Vermont Responsibilities

- Participate in review process
- Meet with Gartner to review the findings and assessment reports
- Provide direction as necessary for specific areas to be addressed

## 7. Quality Assurance Oversight Role

### Task 5: Project Deliverables and Status Reviews, Cont'd

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**Project Deliverables and Status Reviews**

Iterative Review Process of Key Deliverables – Plan, Methodology and Final Deliverables

Preparation and Publishing of Weekly and Monthly Project Status Reports

Plan, Conduct and Report on Periodic Health Checks (Quarterly)

#### ■ **Work Product**

- Quarterly, milestone-based, and ongoing QA Oversight findings and recommendations reports
- Weekly and monthly project status reports

#### ■ **Timeline**

- See Milestones and Key Deliverables Timeline Slides (see slides 9 - 12)

## Provide Gartner's World Class Research In Support of the Vermont Health Services Enterprise Project

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- **Research** – Provide Gartner Research components essential to support the key members of the VT team through the life cycle of the Vermont Health Services Enterprise Project. Three components are being included as part of the proposed scope of work, the first component is -
  - **Executive Programs CIO Signature** – Targeted for Richard Boes and Angela Rouelle – This Gartner Research program provides robust advisory capacity to better inform CIO's in the evaluation and selection of appropriate IT products and services, the management of IT in the public sector as well as the application of this knowledge to enhance the effectiveness and efficiency of outcomes for HHS initiatives and importantly for the Vermont Health Services Enterprise effort. The components and services provided include –
    - **Insight Generation** - Working with our dedicated CIO analysts within Executive Programs on IT Strategy, organization design, governance, and business value of IT
    - **Peer Connections** - Reaching out to other CIOs with introductions made by Gartner's two relevant Centers of Excellence: State and Local Government, and Health Care
    - **Team Development** - Building the business and IT acumen of leadership teams using Gartner's *CIO Reference Guide*, *Leadership Development Program*, *CIO Academy* and more
    - **Personal Coaching and Mentoring** - Providing guidance on the evolving role of the CIO and ways to navigate the political landscape
    - **Gartner Symposium** - Attendance for 2 for our Signature Event – Gartner Symposium

## Provide Gartner's World Class Research In Support of the Vermont Health Services Enterprise Project, Cont'd

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- **Research** – The second Gartner Research component provided as part of the proposed scope of work is –
  - **Gartner for IT Leaders Advisor Workgroup** – Provided for identified team members (1 Advisor and 3 additional Role Users - Terry as a leader, Michael, Hunt and Darwin as added team members) supporting the Vermont Health Services Enterprise Project up to the Office of the CIO for the State and to the leadership of the Agency of Human Services. This Gartner Research program provides an expanded version of the standard Gartner for IT Leaders Advisor services and is expressly designed to enable the Vermont team members to access Gartner resources in a workgroup environment and enables your team to have access to Gartner Research related to information technology and the functional responsibilities of their specific roles in the Health Services Enterprise Project. The components and services provided include –
    - Role-Specific IT Research
    - Benchmarking Analytics IT Key Metrics Data
    - Diagnostic Tools, Templates, and Case Studies
    - Selected Vendor Reports
    - Analyst Inquiry Unlimited for the main member/Advisor
    - Summit Event Ticket

## Provide Gartner's World Class Research In Support of the Vermont Health Services Enterprise Project, Cont'd

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- **Research** – The third Gartner Research component provided as part of the proposed scope of work is –
  - **Gartner for Technical Professionals**– Provided online access for the enterprise supporting the Vermont Health Services Enterprise Project up to the Office of the CIO for the State and to the leadership of the Agency of Human Services. This Gartner Research program provides initiatives/projects that in-depth technical research and guidance to help technologists advance the execution of the IT strategy. The Research Access provided through this component includes -
    - **Gartner for Technical professional** - Covers application platforms, collaboration and content management, data center, data management, identity and privacy, network and telecom, and security and risk management
    - **Reference Architecture** - A decision-making framework and library of research that guides clients in selecting a technology architecture, Reference Architecture is available only in Gartner for Technical Professionals
    - **Initiatives** - A continuous flow of relevant Gartner Technical Professional information delivered when clients need it. Each initiative features a unique custom page and client-customized content. Enables a continual flow of relevant Gartner for Technical Professionals information to client's customized Web page. Based on Client preferences, including initiative alerts highlighting when new content becomes available that is of interest to the end user



## Proposed Team

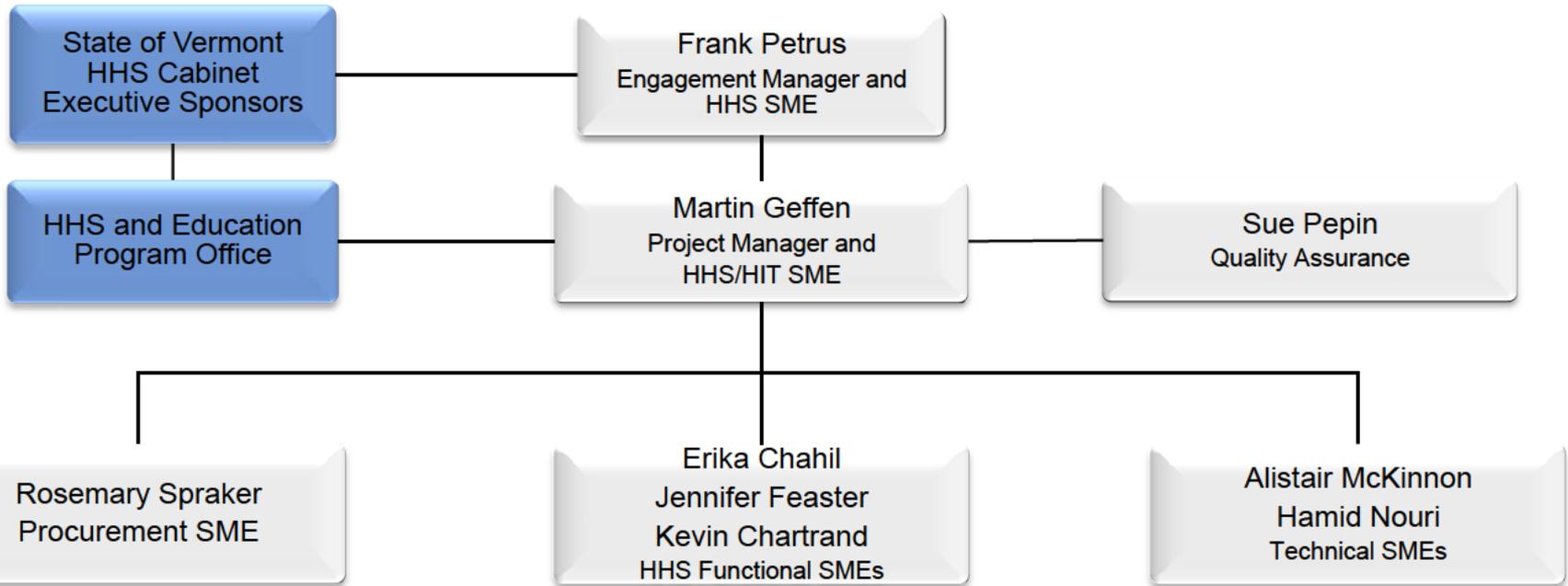
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## Proposed Gartner Team



As needed, the Gartner Project Team will leverage Gartner Research and Research Analysts regarding Integrated Health and Human Services, Enterprise Architecture, and Technology Enabled Organization Transformation



## Project Deliverables

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## Project Products and Deliverables

Project Component / Task	Project Work Products	Payment Deliverables
<b>Project Initiation</b>	<ul style="list-style-type: none"> <li>Kick-Off Presentation</li> </ul>	<ul style="list-style-type: none"> <li>Detailed Work Plan</li> <li>Project Status, Issues and Risks Reporting Template and Schedule</li> </ul>
<b>Readiness Assessment</b>	<ul style="list-style-type: none"> <li>Refined Assessment Framework</li> <li>Business Drivers and Vision Workshop Material</li> </ul>	<ul style="list-style-type: none"> <li>Readiness Assessment As-Is Findings</li> <li>To-be Target State and Recommendations</li> <li>Final Organizational Readiness Report, Findings and Recommendations</li> </ul>
<b>Functional Requirements Validation</b>	<ul style="list-style-type: none"> <li>Work Stream Plan</li> <li>Workshop Materials</li> <li>Draft Functional Requirements Assessment</li> </ul>	<ul style="list-style-type: none"> <li>Final Functional Requirements Assessment</li> <li>Functional Requirements Enhancement Recommendations and Roadmap</li> </ul>

## Project Products and Deliverables, Cont'd

Project Component / Task	Project Products	Payment Deliverables
<b>Non-Functional Requirements Validation</b>	<ul style="list-style-type: none"> <li>• Work Stream Plan</li> <li>• Workshop Materials</li> <li>• Draft General System Design (GSD) and Non-Functional Requirements Assessment</li> </ul>	<ul style="list-style-type: none"> <li>• Final Non-Functional Requirements and GSD Enhancement Roadmap</li> </ul>
<b>Alternatives Analysis (AA)</b>	<ul style="list-style-type: none"> <li>• Work Stream Plan</li> <li>• Refined AA Framework including key criteria and weighting and scoring algorithms</li> <li>• Description of the Oregon Solution and Approach Transfer Hypothesis</li> <li>• Descriptions for a complete range of alternatives to be considered</li> <li>• Workshop materials including descriptions and strengths and weaknesses of approaches in priority order</li> </ul>	<ul style="list-style-type: none"> <li>• AA Final Report with Recommended Approach for –               <ul style="list-style-type: none"> <li>– Integrated Eligibility Including HIX</li> <li>– Building out the modular solution pattern for the Vermont Health Services Enterprise integrating the portfolio of components essential to support the vision for the Blueprint for Health</li> </ul> </li> </ul>

## Project Products and Deliverables, Cont'd

Project Component / Task	Project Products	Payment Deliverables
<p><b>Procurement Strategy and Roadmap</b></p>	<ul style="list-style-type: none"> <li>• Work Stream Plan</li> <li>• Validate Procurement Scope –                             <ul style="list-style-type: none"> <li>– Inventory of key technologies and services to be procured</li> <li>– Analysis of current Vermont capabilities and standards</li> <li>– State Procurement Constraints</li> </ul> </li> <li>• Draft Procurement Strategy and Roadmap</li> </ul>	<ul style="list-style-type: none"> <li>• Final Procurement Strategy and Roadmap</li> </ul>
<p><b>Procurement Assistance</b></p>	<ul style="list-style-type: none"> <li>• Work Stream Plan</li> <li>• Draft RFP outline for up to three RFPs</li> <li>• Draft Evaluation Framework</li> <li>• Establishment of Procurement Library</li> <li>• Proposal Evaluation Team Training Materials</li> <li>• Vendors' Orals Interview Debriefing Notes</li> <li>• Draft Final Procurement Report</li> </ul>	<ul style="list-style-type: none"> <li>• Technical RFP Narrative</li> <li>• Final Evaluation Framework and Evaluation Tools</li> <li>• Completion of Training of Vermont's Proposal Evaluation Team</li> <li>• Agenda and Interview Questions for Short List Vendors' Orals</li> <li>• Final Procurement Report documenting process for selection of Best value Vendors</li> </ul>



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## Project Products and Deliverables, Cont'd

Project Component / Task	Project Products	Payment Deliverables
<p><b>Quality Assurance Oversight</b></p>	<ul style="list-style-type: none"> <li>• Work Stream Plan</li> <li>• Organizational Structure for the QA Office</li> <li>• Defined QA Roles, Responsibilities, and overall AHS / Gartner Governance Processes for Vendor Oversight</li> <li>• Development of Reporting Framework, Mechanisms and Schedule</li> <li>• Draft QA Criteria and Methodology</li> <li>• Weekly Exception Project Status Reports</li> </ul>	<ul style="list-style-type: none"> <li>• QA Charter and Rules of Engagement</li> <li>• Final QA Criteria and Methodology</li> <li>• Baseline Project Health Check</li> <li>• Ongoing QA Deliverable Review Assessment Reports including but not limited to:               <ul style="list-style-type: none"> <li>– Vendor Master Project Workplan</li> <li>– Requirements Validation Plan and Process</li> <li>– Requirements Validation Finalization</li> <li>– System Design and Plan</li> <li>– Software Development Life Cycle Deliverables –</li> <li>– Build Process</li> <li>– Vendor QA Process</li> <li>– Systems and Integration Testing – Plans, Process and Results</li> <li>– User Acceptance Testing</li> <li>– Deployment Plan and Process</li> <li>– Training Plan and Process</li> <li>– Technical Knowledge Transfer</li> </ul> </li> <li>• Quarterly Project Health Check Reports</li> </ul>



## Assumptions and Project Fees

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## Assumptions

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- Gartner will assign senior level staff to this project who have depth in Health and Human Services, and Federally Funded State Systems Planning Requirements
- Gartner's work will be done both on-site and off-site
- Gartner will use focused interview processes and conduct interviews individual or in groups and in-person or by audio/web conference
- The State of Vermont will provide office space for a maximum of four consultants when project staff are on-site including access to internet and to a printer and copying capabilities
- The Scope of Work has been expedited and assumes that a final RFP or set of RFPs (up to three) will be issued by week 14 of the project and that selected vendor(s) will be engaged by week 22 and that the Quality Assurance Work Stream will begin during week 18 of the project
- This is a level of effort firm fixed priced proposal and Gartner will work with the State to readjust time lines as necessary during the life cycle of the project as long as time line adjustments does not impact the level of effort necessary to delivery the agreed upon deliverables

## Assumptions, Cont'd

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- The Scope of Work includes the review, assessment and recommendations for completing Functional, Non-Functional (Technical, Implementation and Performance) and General Systems Design Requirements but does not include the development of requirements at this point
- The Scope of Work includes the development of the Business Case, Understanding, Requirements, Costs Submission Framework and Evaluation Framework and Procurement Library for at least three (3) RFPs, but does not include the development of the Terms and Conditions and Standard State Contract Language
- The State will assign a point of contact that will coordinate Gartner's work efforts and assume responsibilities for supporting key project logistics including –
  - Access to required documentation
  - Identification of stakeholder participants for interviews
  - Space for on-site interviews, workshops, working sessions and stakeholder briefings
  - Identification of participants for identified workshops and stakeholder briefings
  - Scheduling and invitations for identified workshops, working sessions and stakeholder briefings
  - Room reservations for the identified workshop, working sessions and stakeholder briefings including projector and flip charts
  - Support for on-going coordination meetings with Federal partners to ensure project efforts are aligned with Federal expectations and requirements

## Assumptions, Cont'd

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- The State will -
  - Establish a core team to oversee the work stream efforts defined in this proposal
  - Designate staff to review and approve project deliverables within agreed upon times lines defined in the approved Project Work Plan and Work Breakdown Structure
  - Identify a core team to provide guidance to Gartner in the development of the RFP(s) during the Procurement Assistance work stream – including Contract and Legal staff
  - Identify a Proposal Evaluation Team for the Procurement Assistance work stream that will be trained and supported by Gartner in the evaluation of vendor proposals, and in their participation in Vendor Q&A process , Vendor Orals and BAFO
  - Identify a Core Team for the Quality Assurance and Oversight work stream that will be the State's representatives during the System Integrator (SI) effort

## Changes in Scope

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- All State requests for changes to this Proposal need to be in writing and must set forth with specificity the requested changes. As soon as practicable, Gartner will provide the State with the cost and schedule implications of the requested changes and any other necessary details to allow both parties to decide whether to proceed with the requested changes. The parties shall agree in writing upon any requested changes prior to Gartner commencing work.
- As used herein, “changes” are defined as work activities or work products not originally planned for or specifically defined by this Proposal. By way of example and not limitation, changes include the following:
  - Any activities not specifically set forth in this Proposal
  - Providing or developing any deliverables not specifically set forth in this Proposal
  - Any change in the respective responsibilities of Gartner and the State set forth in this Proposal, including any reallocation or any changes in the engagement or the State’s project manager staffing
  - Any rework of accepted/approved deliverables
  - Any delays in deliverable production caused by a modification to the acceptance criteria set forth in this Proposal

## Fixed Price Proposal

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- This Consulting engagement is a firm fixed price deliverable based project that includes \$165,000 for Research Subscriptions for a total cost of **\$2,554,500** for the Consulting and Research Services detailed in this proposed scope of work
- This is a firm fixed fee Consulting proposal. The Consulting fee basis for this engagement encompass all expenses related for the consulting services provided for the project
- Gartner does not charge for administrative, contracts management or deliverable production. All of those associated costs are built into the firm fixed price for this engagement.
- This proposal is good for 30 days from the date on the proposal
- Gartner will submit an invoice upon receiving the State approval of identified deliverables
- Invoices are payable 30 days from the date of invoice.

## Project Payment Milestones

Project Component / Task	Deliverable	Projected Milestone Date	Milestone Payment Amount
<b>Project Initiation</b> Total - \$40,000	<ul style="list-style-type: none"> <li>Project Status, Issues and Risks Reporting Template and Schedule</li> </ul>	<ul style="list-style-type: none"> <li>Week 1</li> </ul>	\$15,000
	<ul style="list-style-type: none"> <li>Final Approved Master Project Work Plan</li> </ul>	<ul style="list-style-type: none"> <li>Week 2</li> </ul>	\$25,000
<b>Readiness Assessment</b> Total - \$180,000	<ul style="list-style-type: none"> <li>Readiness Assessment As-Is Findings</li> </ul>	<ul style="list-style-type: none"> <li>Week 3</li> </ul>	\$35,000
	<ul style="list-style-type: none"> <li>To-be Target State and Recommendations</li> </ul>	<ul style="list-style-type: none"> <li>Week 5</li> </ul>	\$40,000
	<ul style="list-style-type: none"> <li>Final Organizational Readiness Report, Findings and Recommendations</li> </ul>	<ul style="list-style-type: none"> <li>Week 6</li> </ul>	\$105,000
<b>Functional Requirements Validation</b> Total - \$107,000	<ul style="list-style-type: none"> <li>Final Functional Requirements Assessment</li> </ul>	<ul style="list-style-type: none"> <li>Week 5</li> </ul>	\$53,500
	<ul style="list-style-type: none"> <li>Functional Requirements Enhancement Recommendations and Roadmap</li> </ul>	<ul style="list-style-type: none"> <li>Week 6</li> </ul>	\$53,500
<b>Non-Functional Requirements Validation</b> Total - \$115,000	<ul style="list-style-type: none"> <li>Final Non-Functional Requirements Assessment</li> </ul>	<ul style="list-style-type: none"> <li>Week 6</li> </ul>	\$57,500
	<ul style="list-style-type: none"> <li>Final Non-Functional Requirements Enhancement Roadmap</li> </ul>	<ul style="list-style-type: none"> <li>Week 7</li> </ul>	\$57,500
<b>Alternatives Analysis (AA)</b> Total - \$140,000	<ul style="list-style-type: none"> <li>AA Final Report</li> </ul>	<ul style="list-style-type: none"> <li>Week 9</li> </ul>	\$140,000

## Project Deliverable Milestones, Cont'd

Project Component / Task	Deliverable	Projected Milestone Date	Milestone Payment Amount
<b>Procurement Strategy and Roadmap</b> Total - \$150,000	<ul style="list-style-type: none"> <li>Final Procurement Strategy and Roadmap</li> </ul>	<ul style="list-style-type: none"> <li>Week 10</li> </ul>	\$150,000
<b>Procurement Assistance</b> Total - \$450,000	<ul style="list-style-type: none"> <li>Technical RFP Narrative</li> <li>Final Evaluation Framework and Evaluation Tools</li> <li>Completion of Training of Proposal Evaluation Team</li> <li>Agenda and Interview Questions for Short List Vendors' Orals</li> <li>Final Procurement Report</li> </ul>	<ul style="list-style-type: none"> <li>Week 9</li> <li>Week 11</li> <li>Week 13</li> <li>Week 16</li> <li>Week 22</li> </ul>	<ul style="list-style-type: none"> <li>\$350,000</li> <li>\$45,000</li> <li>\$30,000</li> <li>\$15,000</li> <li>\$10,000</li> </ul>

## Project Deliverable Milestones, Cont'd

Project Component / Task	Deliverable	Projected Milestone Date	Milestone Payment Amount
<p><b>Quality Assurance Oversight</b> Total - \$1,207,500</p>	<ul style="list-style-type: none"> <li>• QA Charter and Rules of Engagement</li> <li>• Final QA Criteria and Methodology</li> <li>• Baseline Project Health Check</li> <li>• QA Deliverable Review Assessment Reports (Fixed Price for All Deliverables from RFP(s) Selected Vendors – Cost Per Deliverable will Be Defined within this Fixed Price at Initiation of the QA Work Stream)</li> <li>• Quarterly Project Health Check Reports (One Baseline and Three Quarterly Health Checks During QA 18 Month Work Stream)</li> </ul>	<ul style="list-style-type: none"> <li>• Week 20</li> <li>• Week 22</li> <li>• Week 36</li> <li>• Monthly as deliverables are completed and reviewed</li> <li>• Quarterly starting Week 48</li> </ul>	<p>\$41,250</p> <p>\$41,250</p> <p>\$115,000</p> <p>\$550,000</p> <p>\$460,000</p>
<p><b>Gartner Research</b> Total - \$165,000</p>	<ul style="list-style-type: none"> <li>• Executive Programs CIO Signature</li> <li>• IT Leaders Advisory Workgroup</li> <li>• Gartner for Technical Professionals</li> </ul>	<ul style="list-style-type: none"> <li>• Week 1</li> </ul>	<p>\$82,700</p> <p>\$50,900</p> <p>\$31,400</p>
<p><b>Total Cost</b></p>			<p><b>\$2,554,500</b></p>

## Authorization

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- This proposal is in accordance with the terms and conditions of the **Client Agreement** between the State of Vermont and Gartner, Inc. - # . By signing below, the State of Vermont agrees to the terms of this Scope of Work (SOW) and represents that this SOW, together with the **Client Agreement #** constitutes the contractual relationship between the parties with respect to this engagement.

SUBMITTED ON BEHALF OF GARTNER, INC.



Frank Petrus  
Senior Managing Partner  
Gartner Consulting

April 3, 2011

Date

- The State of Vermont accepts the proposal and agrees to the terms set forth herein.

AGREED TO ON BEHALF THE STATE OF VERMONT AGENCY OF HUMAN SERVICES

---

Signature

Date

---

Printed Name and Title



## Contacts

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