STATE OF VERMONT
DEPARTMENT OFVERMONT HEALTH ACCESS

It is hereby agreed by the State of Vermont, Department of Health Access (hereafter called "State"), OptumInsight, Inc., with a principal place of business at 13625 Technology Drive, Eden Prairie, Minnesota, 55344 (hereafter called "Contractor"), that the contract between them commencing June 9, 2014, as amended August 15, 2014, amended and restated September 15, 2014, and amended November 19, 2014 Contract # 26801, is hereby amended as follows:

I. The fourth paragraph in the standard Contract for Personal Services, as amended and restated, is amended to read as follows to increase the maximum contract amount:

4. Maximum Amount. In consideration of the services to be performed by Contractor, the State agrees to pay Contractor, in accordance with the payment provisions specified in Attachment B, a sum not to exceed $ 40,772,718.

II. Attachment A, Scope of Services. Attachment A, Scope of Services, Section II, Specification of Work is hereby modified by the insertion of the following program and project management provisions in the description of Stream 5 services:

Stream 5 CONTRACTOR PROJECT MANAGEMENT AND SUPPORT

The State will provide governance over the Project Management Plan (PMP). Contractor's project manager shall be responsible for the successful delivery of all Contractor tasks and subtasks defined in State's Project Management Plan (PMP). Progress will be monitored by the State and plans adjusted, as necessary, in project status meetings. The Project Management Plan deliverables (for Contractor tasks) shall be updated by the Contractor, agreed upon, and reports printed for each status meeting.
Contractor's project manager shall assist the State's project manager (upon request) in creating materials for periodic presentations to State project sponsors and key stakeholders. Contractor's project manager may be required to present information to, and answer questions from, State stakeholders at these presentations.

PROJECT MANAGEMENT AND SUPPORT

The Contractor's program and project management team shall engage in the following activities:

1) Project Planning – Contractor shall provide project management for Contractor's team delivering all Stream 5 services which have been and will be executed. In addition, Contractor shall support the development of an integrated project plan for DDI and M&O activities that defines an effective project management delivery methodology. The plan will include project activities that are scheduled to occur through December 31, 2014.

- Provide project management for Contractor's team delivering stream 5 services:
  - Executive peer to peer communications and status;
  - Provide leadership, direction, and project management for Contractor Stream 5 services; and
  - Report status describing Contractor Stream 5 services, progress, plans, risks, and issues no less than weekly, on a day to be mutually agreed with the State.
- Support the creation of a Project Management Plan ('PMP') based on the processes and principles described in the Project Management Institute's Project Management Body of Knowledge ('PMBOK'). The State of Vermont will deliver the Project Management Plan consistent with the standards as set forth by the Department for Innovation and Information and AHS Health Services Enterprise PMOs. Contractor shall provide inputs to the plan as requested by the SOV. The PMP will cover DDI activities; M&O project management and support is not included in the scope of Stream 5 services:
  - The scope of the PMP shall include the project management planning, resource allocation, execution and control of system development lifecycle ('SDLC') activities to design, develop, implement, test and deploy (as appropriate) Vermont Health Connect functionality, and to perform maintenance and operations activities in support of the VHC production system.
- Execute the processes in the PMP, to include:
  - Schedule Management – track plan vs. actual (e.g., % complete)
  - Communication Management – status reporting
  - Risk/Issue Management – tracking and reporting
  - Staff Management – monitor staff resource requirements (plan vs. actual)
  - Scope Management – track and report requirements traceability issues and change control
  - Quality Management – coordinate effort with Quality Assurance Task Orders
  - Cost/Budget Management - process definition. VHC cost/budget administration activities are outside the scope of Stream 5 services.
- In consultation with the State project managers, support the creation if an integrated master schedule (IMS), representing a replan for VHC functionality not yet delivered, for State review and approval. The IMS will include DDI and high-level M&O activities that will be further detailed as an outcome of a subsequent M&O plan for the system integrator (SI), and tasks that State resources and State contractors are responsible for delivering, through December 31, 2014, using rolling wave project scheduling techniques. Stream 5 services excludes:
  - Execution of DDI and M&O activities; Contractor will perform these services as part of Stream 6 services
  - Project management for State business operations
- Report status of execution against the PMP and IMS (in collaboration with the State project managers), no less than weekly on a day to be mutually agreed with the State. The status report shall include:
  - Progress against project schedule (percent complete)
  - Tasks completed
  - Tasks in progress with estimated completion dates and associated staffing

- Tasks planned with estimated completion dates and associated staffing
- Risks and issues related to the completion of the Stream 5 services with mitigation steps as necessary

2) M&O Resource Planning – Contractor shall develop a resource plan for M&O activities

In order to successfully accomplish the tasks set forth above, the Contractor shall provide the following roles and related activities:

Role	Activity and Work Product
Program Management I	
Optum VHC Business Functions Associate Partner I	• Overall responsibility for delivery of Contractor services
Optum VHC Program Director	• Provides leadership and direction to the Optum project managers regarding delivery of Contractor services in accordance with project deliverables and work products • Collaborate with the State on project direction execution
Optum VHC Project Manager(s)	• Provide daily direction to Optum Contractor team • Report status of Optum Contractor Stream 5 activities • Collaborate with State on project direction and execution
Optum VHC Senior Program Administration Specialist	• Assist Optum Contractor Project Manager(s) with project management administrative activities, includes onboarding resources, meeting facilitation, and State communications. • Assist Optum project team with financial administrative activities
Optum VHC Program Administration Specialist	• Assist Optum project team with administrative activities
Program Management II – Project Management	
Optum VHC Project Manager(s)	• Provide input to the VHC PMP • Provide input and updates to the VHC IMS • Lead Optum project management execute and control activities, as defined in the PMP.
Optum VHC Project Manager / Analysts	• Assist Contractor Project Manager(s) with: o Inputs to the VHC PMP and IMS. o Project management execute and control activities, as defined in the PMP

State shall:

A. Participate in Project planning activities and identify responsibilities of State staff.
B. Participate in plan development by providing technical information and guidance.
C. Review and approve all Program Management deliverables.

1. Deliverables

The Contractor shall deliver:

- Project Management:
  - Not less than weekly, Status Report detailing Contractor Stream 5 services progress
  - Not less than weekly, Status Report detailing VHC project progress:
    - Status Report(s) format will be defined in the PMP's Communication Management Plan
- Project Planning:
  - Provide inputs and updates to the VHC IMS (MS Project) that outlines activities, tasks, resources, dependencies, and schedule for both the State and its contractors.

III. Attachment A, Scope of Services. Attachment A, Scope of Services, Section II, Specification of Work is hereby modified by the deletion of the description of Stream 6, Maintenance and Operations Services in its entirety, and the insertion of the following in its place:

Stream 6 – Maintenance and Operations Services

Contractor shall perform the maintenance and operations services set forth in Attachment G to this Contract through the earlier to occur of (i) December 31, 2014; (ii) the execution of a contract for Maintenance and Operations Services between the Contractor and a State entity other than the Department of Vermont Heath Access ("New M&O Contract"). If the New M&O Contract is entered into prior to October 31, 2014, this Stream 06 shall terminate effective October 31, 2014 and if the New M&O Contract is entered into after October 31, 2014 but prior to November 30, 2014, this Stream 06 shall terminate effective November 30, 2014.

The parties agree that the maintenance and operations services set forth in Attachment G include a number of services which would be more appropriately categorized as design, development and implementation ("DDI") services to the extent they involve system fixes and development. Contractor shall invoice the State for DDI services in accordance with Attachment B to the extent they make up a component of the M&O obligations.

IV. Section II, Specification of Work is hereby modified by the insertion of the following provision for Stream 7 Design, Development and Implementation services, to follow the description of Stream 6 services:

II SPECIFICATION OF WORK

Stream 7. Design, Development, and Implementation Services

A. Definitions
The following definitions apply to Stream 7 Design, Development and Implementation ('DDI') Services:

a) DED shall mean Deliverable Expectation Documents. The DEDs delivered in connection with the performance services shall be documents developed by the Contractor and as mutually agreed to by both parties which clearly define the acceptance criteria by which a specific Contractor deliverable will be assessed for acceptance and completion of the deliverable.
b) TDD shall mean Technical Design Documentation.
c) FDS shall mean Functional Design Specifications.
d) SOA means service oriented architecture.
e) Remediation or Remediate shall mean act or process of correcting a fault or defect. A defect is a deviation from approved designs.
f) IV & V, PMO, Quality and Security means a federal or state authorized vendor such as an Independent Verification and Validation or Project Management Organization to review the quality delivered within a contract project.
g) Escalation means taking the issue to key project personnel with Contractor and State
h) COTS means commercial off the shelf software.
i) Phase Gate means a milestone comprised of deliverables. Phase Gate acceptance checkpoints are based on the acceptance of deliverables that use the criteria outlined in the related Deliverable Expectation Document (DED). Specific phase gates are defined in the Project Management Plan and the schedule is depicted in the MS Project Plan.
j) Production phase gate means a point during the implementation process where an assessment of the quality of software and production readiness is undertaken and a 'go /no-go' decision is made by the State in consultation with the Contractor.
k) Production cut over means part of the migration process in which the software in test is deployed into a live environment.
l) Rolling Wave means a project management technique that involves progressive elaboration to add detail to the project plan work breakdown structure (WBS) with task and milestones on an ongoing basis. At the beginning of the project, near term deliverables are decomposed into individual components and defined at the greatest level of detail. Deliverables and schedule activities that will take place several reporting periods in the future are more broadly defined.
m) SME shall mean subject matter expert with particularly relevant functional or technical knowledge specific to DVHA business, the VHC solution, or its technology.

The Contractor shall provide DDI staff to support the State's VHC system enhancements as specified below.

B. Duration of Stream 7
Contractor shall perform this work from November 15, 2014 until January 31, 2015.

C. Stream 7 VHC System Enhancements

Contractor shall perform project management and DDI work for the following functional and technical system enhancements. The DDI work is described in more detail in the following Section D. DDI Phases.

Each Enhancement ID in the table below is further described in the State approved Exhibit Z

Enhancement ID	Enhancement	Description	DDI Work/Deliverables
CA-014	IRS Reporting	Generation of APTC related and enrollment data to supply IRS as well as creation of notices for exchange users to meet IRS 1095 guidelines in effect as of the date of this contract. IRS 1095 documents needs to be mailed by January 15, 2015 (or by the date mutually agreed to in the MS Project Plan).	• Requirements / Functional Design • Technical Design • Development • System Integration Test • User Acceptance Test • Regression Test • Training • Implementation • Post Implementation
EN-018 EN-026 EN-034 EN-044 EN-049 EN-136 CM-055	OneGate (3.3.2.10*) with Notice of Eligibility Decision Staging	OneGate 3.3.2.10* (COTS) out of the box functionality and integration (e.g., Siebel, OPA) will be tested by Contractor to validate the CoC functionality, and staged for future deployment. Functionality includes: • Notice of Eligibility Decision"EE005" • Medicaid renewals • SSN and Temp SSN • Align Paper and Online Application flows • QHP renewals (no integration)	• Requirements / Functional Design • Development o Configuration based VHC policy and business rules • Smoke Test • Exeter COTS and Integration Triage Note: Development / configuration will be started but not completed prior to the end date of this Stream 07.

		• Alternate Address • CSR level visible in portal • Plan History view in portal • Medicare Eligible • Allocation of dental EHB % by Tier • Catastrophic Plan Exemptions • Exemption Processing • Eligibility History view for benefit line items Functionality contained in the out of the box OneGate COTS product supplied directly by Armedica to the State under the separate Armedica State License and Technical Services Agreement is described by the product's release notes. Contractor's Scope of Work shall be limited to testing the Coc Functionality to validate that actual functionality conforms to those release notes	
CC-001	CoC Back-end Integration	Custom VHC CoC integration for the following: • Carrier Integration • Benaissance Billing System • Federal Data Hub • Siebel CRM For all use cases supported by OneGate 3.3.2.10 per	• Requirements / Function Design • Technical Design • Development Note: Development will be started but not completed prior to the end date of this Stream 07.

		Armedica notes	
IF-126 IF-121	Environment Remediation	• Existing environments will be validated, and remediated and modified if necessary to confirm that all environments provide identical functionality.	• Requirements / Functional Design • Technical (Infrastructure) Design • Development / Build • System Integration Test (Environment Validation) • Performance Test (Baseline) • Security • Implementation • Post Implementation
SD-144	Hewlett Packard Application Life Cycle Management (HP ALM) Functionality	HP ALM is a 3rd party software tool. The use of HP ALM modules allows Contractor to more efficiently deliver the planning and execution phases of the testing lifecyles. These modules integrate requirements management, release and cycle management, test plan, test lab, defects management, and dashboard reporting; and interface with Quick Test Professional for automated testing which is essential to ongoing regression	• Implementation / Workflow assuming the using HP Cloud. Note: The HP ALM is a 3rd party tool is used to develop (test) the solution and not part of the solution itself. Hence, the SDLC deliverables are not applicable.

		test activities. HP UFT software (formerly QTP) provides functional and regression test automation for software applications and environments. This allows Contractor to build automated software testing for the State, reduces risk of data layering for test cases, and improves the speed and quality of Contractor's Regression suite. HP Performance Center (formerly LoadRunner) provides a toolset that captures Load/Volume/Stress. This is one of the tools that is used to conduct Performance testing for VHC. This software gives an accurate picture of end-to-end system performance. This application load testing software helps identify and resolve issues before application go-live. Contractor's staffing model assumes the use of these tools.	
IF-120	• Akamai services • Architecture	• Expand WAF rule set • Implement DNS Failover • Validate static asset pipeline	• Requirements • Design Note: these phases will be

SA-093	Remediation	and cache busting strategy to ensure Akamai cache use is maximized	started but not completed prior to the end date of this Stream 7.

* OneGate 3.3.2.10 can be substituted by 3.3.2.9 upon further analysis and mutual signoff by the State and Contractor.

Additionally, the Contractor shall perform services onsite at the State offices or at Contractor or subcontractor offices within the continental United States, as the State may reasonably agree.

Stream 7 services will be delivered in accordance with the approved State's Project Management Plan.

The MS Project Plan (Schedule) will be developed by the Contractor in consultation with the State and subject to State approval as defined in the DED. The MS Project Plan shall establish tasks and resource assignments to complete the work described above for Stream 7 services.

D. DDI Phases

This section describes the DDI work to be performed by DDI phase. It is followed by a section that describes the deliverable by phase.

1. Project Management Phase

The creation of a PMP was completed under Stream 5. For Stream 7, Contractor shall support the execution and modification of the Project Management Plan ('PMP') based on the processes and principles described in the Project Management Institute's Project Management Body of Knowledge ('PMBOK'). The Project Management Plan will be consistent with the standards as set forth by the Department for Innovation and Information and AHS Health Services Enterprise PMOs. The PMP will cover DDI activities; a separate M&O MS Project Plan will be developed by the Contractor under a separate agreement and is not included in the scope of this Stream 7.

The scope of the PMP contains the project management planning, resource allocation, execution and control of system development lifecycle ('SDLC') activities to design, develop, implement, test and deploy (as appropriate) functionality, and to perform maintenance and operations activities in support of the VHC production system.

Contractor shall:

- Project Management - Planning:
    - A DED shall be prepared for each deliverable in Section E, DDI Deliverables, specifying the acceptance criteria. For deliverable acceptance to occur, deliverable acceptance criteria must be met as defined in the DED.
    - Provide project management for Contractor's team delivering VHC M&O and DDI services. In addition, Contractor shall support the development of an integrated project plan for DDI and M&O activities that defines an effective project management delivery methodology. The plan will include project activities that are scheduled to occur through June 30, 2015.
        - In consultation with the State project managers, support the creation of

an Integrated Master Schedule ('IMS'), representing a release plan for VHC functionality not yet delivered, for State review and approval.
    - The IMS will contain:
        - DDI and high-level M&O activities that will be further detailed as an outcome of a subsequent M&O plan, addressed in a separate statement of work from this Stream 7.
        - Tasks that State resources and State contractors shall be responsible for delivering through June 30, 2015, using Rolling Wave project scheduling techniques.
        - Note: IMS updates are iterative and continue throughout the duration of the project.

- Project Management – Execute and Control
    - Provide project management for Contractor's team:
        - Executive peer to peer communications and status;
        - Provide leadership, direction, and project management for Contractor; and
        - Report status describing Contractor progress, plans, risks, and issues no less than weekly, on a day to be mutually agreed with the State.
    - Execute the processes in the PMP:
        - Schedule Management – track plan vs. actual (e.g., % complete)
        - Communication Management – status reporting
        - Risk/Issue Management – tracking and reporting
        - Staff Management – monitor staff resource requirements (plan vs. actual)
        - Scope Management – track and report requirements traceability issues and change control
        - Quality Management – track performance to quality processes defined in the Quality Management Plan
        - Cost/Budget Management - process definition and tracking/reporting Contractor budget vs. actual costs.
    - Report status of Contractor's execution against the PMP and IMS, no less than weekly on a day to be mutually agreed with the State. The status report shall contain:
        - Progress against project schedule (percent complete)
        - Tasks completed
        - Tasks in progress with estimated completion dates and associated staffing
        - Tasks planned with estimated completion dates and associated staffing
        - Risks and issues related to the completion of Stream 7 with mitigation steps as necessary

- Project Management scope excludes:
    - Project management for Contractor business operations support (i.e. Stream 3 Task Orders)

- Project management for State Business Operations

State shall:

D. Participate in project planning activities and identify responsibilities of State staff.
E. Participate in plan development by providing technical information and guidance.
F. Review and approve deliverable acceptance criteria as agreed to by both parties.
G. Review and accept planning deliverables based on deliverable acceptance criteria as defined by both parties in the DED.
H. Monitor and control the IMS developed by the State and Contractor
I. Monitor and control activities according to the PMP developed by the State and Contractor.

2. Requirements/Functional Design Specifications Phase

For the enhancements described in Section C. Stream 7 VHC System Enhancements, Contractor shall:

- In consultation with the State, conduct joint requirements management (JRM) sessions and update project High Level and Detail Requirement documents.
- In consultation with the State, conduct joint application design (JAD) sessions and update/create Solution Architecture Document.
- Create a requirements traceability matrix (RTM) to track requirements from definition, through approval, design, test, defect remediation and deployment.
- Participate in Federally facilitated business and technical meetings and conference calls.
- Define the schedule for requirements definition and design sessions at least four (4) days in advance of targeted meetings dates unless approved by the State.

The State shall:

A. Review and accept all requirements deliverables based on deliverable acceptance criteria as defined by both parties in the DED.
B. Provide subject matter experts to clarify the Agency's business processes.
C. Provide policy, regulation, forms, and procedural reference material and interpretations as needed.
D. Provide leadership in coordinating efforts with State Stakeholders for requirements validation.
E. Provide interpretation of legislative statutes and existing policies and procedures.

The FDS shall be submitted to the State for review and comment as outlined in the MS Project Plan. Contractor shall, in consultation with the State, incorporate State comments and re-submit for review. Once the FDS is accepted by the State based on the DED, the Contractor shall proceed with the Technical Design Phase.

3. Technical Design Phase

The TDD produced in this phase details how the VHC solution will meet the State's functional, non-functional, physical, interface, and data requirements. These activities shall be conducted in an iterative fashion, focusing first on the general requirements design that emphasizes the functional features of the requirements, and then expanding to include the required technical detail to implement the requirements.

Contractor shall:

- Develop the TDD required to implement the approved requirements and functional design. Modifications shall be made to the TDD as necessary during subsequent development and testing phases.
- Review the technical design with State and/or State assigned 3rd Parties.

State shall:

A. Provide policy, regulation, forms, and procedural reference material and interpretations as needed
B. In consultation with the Contractor, develop the prioritized scope of interfaces to be developed.
C. In consultation with the Contractor, facilitate activities with external agencies, if necessary.
D. Provide subject matter experts to clarify interface issues.
E. Provide leadership in coordinating efforts with State stakeholders for interface development.
F. Review and accept the TDD based on acceptance criteria as defined in the DED.

The TDD shall be submitted to the State for review and comment as outlined in the project plan. Contractor shall, in consultation with the State, incorporate State comments and re-submit for review. Once the TDD is accepted by the State, the Contractor shall proceed with the Development Phase.

4. *Development Phase*

Contractor shall:

- Develop code and/or introduce a COTS configuration necessary for the implementation of the requirements as specified in the Requirements, FDS and TDD deliverables.
- Provide Unit testing results for review once the development activity is completed for a given requirement before releasing it to QA.
- Support State and/or State's assigned 3rd Party participation in monitoring activities, including but not limited to shadowing of coding and configuration activities, and code reviews to confirm adherence to SOA guidelines, as requested by the State.
- Remediate defects (as identified by the Contractor and the State and confirmed by the Contractor) in the requested functionality. The Contractor and the State shall assign defect severity and priority in accordance with the approved Test Plan.
- Assign remediation tasks to appropriate Contractor resources, including, but not limited to, the Contractor's Development group, Configuration group and Business group.
- Functionality defects referred to the Contractor's Development or Configuration group

will be:
  - Remediated in the relevant environment(s), in accordance with defect severity and priority.
  - Unit/integration tested as appropriate.
  - Documented with proof of fix (unit/integration test results)
- Remediated Functionality shall be packaged and promoted for retest and coordinated with the QA team
- Create or Update Release Plan during the development life cycle to inform the State and appropriate 3rd parties about the scope of the delivery planned in a given release.

State shall:

A. Review system objects for conformance with software development and documentation standards.
B. Provide clarification of requirements and design option decisions.
C. Review and accept the code and unit test deliverables based on acceptance criteria as defined in the DED.
D. Coordination of the following activities which may be required of 3rd parties which control the systems that interface with the VHC Solution :
   1. Create new or modified objects.
   2. Code new or modified programs, reports and extracts.
   3. Create unit test cases, test data and test environment.
   4. Design and perform unit testing.
   5. Report unit test results.
   6. Prepare code and unit test deliverables.
   7. Revise deliverables as a result of the review and approval process.

5. ***Testing Phases (SIT, QA, Regression, Security, and Performance):***

The Testing Phase consists of these activities:

- System Integration Testing (SIT) - verifies the integration between internal and external systems to make sure connectivity exists between systems identified in the scope.
- Quality Assurance (QA) - validates deliverables meet the new/incremental scope delivered.
- Regression testing - validates any existing functionality that existed before adding new scope continues to meet performance expectations
- Performance testing - validates the system will be able to handle expected performance requirements identified in the non-functional requirements/System specifications document.
- Security testing - validates the system does not have any vulnerabilities through Static Code Analysis and or Dynamic Web Scan.

Contractor Shall:

- Review, update and, to the extent required, augment existing system integration/regression test cases; identify and execute test cases that are candidates for a baseline test and regression suite.
- Contractor shall confirm previously documented defects and their severity and identify defects not previously documented.
- Testing shall include the following:
  1. Create/Revise Test Plan for SIT, QA, Regression, Security, and Performance testing phases
  2. Perform script development, execution, and reporting per the Test Plan
  3. Identification and development of test automation solution(s) where applicable
- Facilitate a daily Defect Control Board meeting to review and prioritize defects in collaboration with the State’s Test Manager

The State shall:

A. Review and accept the testing deliverables for SIT, QA, Regression, Security and, Performance testing phases based on acceptance criteria as defined in the DED:
   1. Contractor’s test case documentation.
   2. Contractor’s s test results.
   3. Contractor’s test result certification.

B. Participate in testing activities when testing interfaces with existing systems that are not maintained by the Contractor:
   1. Coordinate the establishment of the test environments in the existing systems.
   2. Coordinate the creation of test data and test files needed for initial testing as well as for re-testing (if any).
   3. Coordinate the tests. Each module shall be tested when it is completed. The

compatibility of all modules for the entire system shall be tested when all modules have been completed.

4. Coordinate the correction of problems, testing until expected results are obtained.

- For clarification purposes, the completion of the tasks in (1)-(4) above shall, as between the Parties, be solely the responsibility of the State, and Contractor's services will depend upon such completion.

6. *UAT Phase*

The UAT Phase includes the following activities:

- User Acceptance Testing – validates the system meets functional requirements as set forth by the State.

Contractor shall:

- Develop along with the State, UAT plan, UAT test scenarios, UAT test cases,
- Execute UAT test cases, and
- Report UAT results to the State.

The State shall:

A. Review and accept UAT deliverables based on the acceptance criteria as defined in the DED:
   1. UAT plan
   2. UAT test cases
   3. UAT test scripts
   4. UAT test expected results
   5. UAT execution results
      - Documentation and correction of issues.
      - UAT analysis reports.

C. Provide test scenarios which contractor will build test cases from.
D. Arrange for UAT staff availability to develop and execute test cases.
E. Provide staffing, including subject matter experts to support planning, execution, and reporting.

Once the application meets the Exit Criteria (as specified in the Test Plan), the State shall provide the Contractor with written approval to proceed with the deployment activities.

7. *Training Phase – End User*

The end user training scope for Stream 7 consists of the planning, preparation, delivering and monitoring of job aids to support the deployment of IRS Reporting enhancements.

Contractor shall:

- Provide a training plan for VHC trainers that will give the VHC trainers sufficient tools to provide training to the VHC solution end users.
- The training plan shall help prepare VHC trainers to effectively train VHC solution end

users to effectively employ the specified enhancements and supporting technology. The plan includes a mechanism (e.g. survey) by which VHC trainers are evaluated for readiness to train the material.

- The Contractor shall provide training documentation ('Job Aids') required for training the VHC users.
- If the State requests business-specific changes to the material based on how the technology is implemented in specific business units, Contractor shall incorporate these changes subject to change request approval.
- The Contractor shall incorporate a mechanism to evaluate the training program in terms of learner reaction, learning effectiveness, and application of learning to job tasks. The evaluation method shall be based on an industry standard assessment. If this evaluation indicates that the training program does not deliver expected learning outcomes, the Contractor shall revise the training program and training materials to improve the training. This mechanism consists of:
  1. End of Training Survey (using Inquisite) sent to training participants. This data is collated and reviewed with State Training Manager and Operations leads
  2. End of Training Knowledge Check is administered to training participants to assess that participants have the basic understanding needed to field questions/calls re: Tax Form 1095. This data will be collated by Contractor and reviewed with State Training Manager and Operations leads.

State shall:

A. Provide State personnel, who will provide training to end users of the VHC Solution.
B. Deliver training related to operational procedures and policy changes as a result of the VHC solution enhancements.
C. Work closely with the Contractor regarding planning, monitoring, and delivery of training.
D. Provide feedback and resources for curriculum (or content) review through the training materials development process
E. Assign a training team leader from the State's Project team.
F. Review evaluation forms and provide feedback to Contractor on training design and delivery throughout the implementation training period.
G. State training participants have a prerequisite understanding of State business rules underlying the VHC solution.
H. State training participants have a basic knowledge of Microsoft Windows based PCs and operating system functions before attending system functionality training.

8. Implementation Phase:

Contractor shall:

- Plan, execute, and manage implementation services as follows:

- In consultation with the State evaluate the business impact of the planned deployment activity
- In consultation with the State plan for the business impact and communicate to the State the business changes required at time of deployment
- Prepare and execute written Implementation Plan for services required to deploy the application in the production environment:
  - Facilitate a joint Go/No-go implementation review where technical and business readiness are reviewed
  - Prepare code and system configuration into a deployable package as needed by release management
  - Confirm code deployment
  - Investigate and remediate reported post release abnormal behavior

State shall:

- Review and accept implementation deliverables based on acceptance criteria as defined in the DED
- Approve Go/No-Go criteria and accept risks defined in the Implementation Plan.
- Approve implementation Go/No-Go based on criteria outlined in the Implementation Plan.

9. Warranty Phase:

This phase is not applicable for the duration of this Stream 7.

E. Deliverables for Stream 7.

The Contractor shall deliver the following during Stream 7:

1. Project Management Deliverables
   a. Provide first iteration of DDI inputs to the IMS no later than ten (10) business days after the Amendment is executed by the parties. This MS Project Plan will be an extension of the project plan currently being managed by the State. Not less than weekly, Contractor shall provide to State a Status Report detailing progress of DDI activities against the DDI MS Project Plan.
   b. DEDs shall be submitted in accordance with the MS Project Plan for each of the following:
      i. DDI (Microsoft Project) Plan inputs
      ii. Requirements Document
      iii. Functional Design Specifications (includes Gap Impact Analysis and Updatable RTM, use cases and/or configuration specifications)
      iv. Solution Architecture Document
      v. Technical Design Documentation (addresses both initial version and final version)
         1. Initial version – as used to begin development
         2. Final version reflecting all changes introduced during the

development / testing cycle

vi. VHC solution code/COTS Configuration
vii. Unit Test Results
viii. Test cases, results and certification for QA, SIT, Performance and Regression
ix. UAT Test cases and results (Note: UAT Certification is States responsibility).
x. Training Plan, Materials, and Results
xi. Implementation Plan with specific acceptance criteria
xii. Operational Readiness Assessment, including staffing recommendations
xiii. Production Phase Gate
xiv. Post Implementation Validation Report

The DEDs delivered in connection with the performance services shall be documents developed by the Contractor and mutually agreed upon by both parties, which clearly define the acceptance criteria by which a specific Contractor deliverable will be assessed for acceptance and completion of the deliverable.

c. Project Status Report

The Project Status Report contains the current status of the project's technical progress and contractual obligations; achievements to date; risk management activities; unresolved issues; requirements to resolve unresolved issues; action items; installation and maintenance results; and significant changes to Contractor's organization or method of operation, to the project management team, or to the deliverable schedule, where applicable and any other information related to the services which the State may require, as agreed to by Contractor. The report shall be delivered to the State no more than two business days after the presentation (may exclude report exhibits included in the appendix).

The report documents key milestones accomplished with reference to the MS Project Plan.

Project Dashboard showing the overall status of the project in terms of the standard triple constraint: cost, time, resources (using a legend or icon of green, yellow, and red based upon the following definitions):

- Green – 90% or more of deliverables are on track to deliver committed scope (defined in the DED) by committed deadline with committed resources/funding.
- Yellow – 75 - 90% of deliverables are on track to deliver committed scope (defined in the DED) by committed deadline with committed

resources/funding, but have a plan to get back to green.

- Red – Less than 75% of deliverables as (defined in the DED) are on track and currently do not have a plan to get back to green. If the weekly project report assesses a red icon the parties will review and determine if escalation is required to remediate project delivery risk. The escalation process is specified in the Project Management Plan.

In the event of yellow or red overall project status, there should be a specific task(s) and/or issue(s) identified as yellow or red which are the root cause, as best determined at the time, of the overall project status being yellow or red.

The reports appendices shall include:

i. Contractor's Project Manager shall provide, by rate card category of work performed:
   1. Total hours authorized under the Stream 7
   2. Hours expended during the most recent week reported
   3. Total hours expended under the Stream 7 to date
   4. Summary of work performed for the period

ii. Planned task Activities showing:
   1. Planned tasks accomplished
   2. Planned tasks that are incomplete
   3. Tasks behind schedule in the previous week (with reasons given for those behind schedule and mitigation plan for getting them back on schedule)
   4. Tasks planned for the upcoming two weeks
   5. An updated status of tasks entered into the MS Project Plan and attached to the status report
      a. Percent completed
      b. Resource assignments & duration
      c. The status of any corrective actions undertaken.

The State Program Manager and Contractor's Project Manager will come to agreement on the exact format of the project status documentation.

The Contractor agrees to provide access to personnel and documentation so that the State's IV & V, PMO, Quality and Security vendors may assess contract/quality/security compliance.

2. Requirements and FDS Deliverable:
   a. Requirements Document
   b. Functional Gap Impact Analysis
   c. FDS, which contain:
      i. Use cases specifications for custom functionality
      ii. Configuration specifications for configuration updates to commercial-off-the-shelf (COTS) software package configuration

iii. Updated RTM (traces requirement to design specification)

d. Solution Architecture Document

3. Development Deliverables
   a. Technical Design Document
   b. Code/configuration package for QA, SIT, Performance, Regression and UAT
   c. Unit Test Results due by Contractor not less than weekly during the testing phase.
   d. Documentation of remediated defects with proof of fix, due by Contractor not less than weekly, and shall contain a root cause analysis.

4. Testing Deliverables - QA, System Integration, Regression, Security and Performance Test
   a. Test Plans that outlines the approach (including roles and responsibilities), tasks, resources, dependencies, schedule, and definition of defect severity and priority.
   b. Not less than weekly, QA Status Report detailing progress against Test Plans:
      i. Testing status/dashboards based on test execution, on a day to be mutually determined during the planning phase of this Stream 7 (daily at the request of the State), to include:
         1. Requirement coverage
         2. % tests executed
         3. % tests passed
         4. Defects (quantity, severity, and status)
         5. Blocked Scripts

5. User Acceptance Test Deliverables
   a. Not less than weekly, QA Status Report detailing progress against the UAT Test Plan:
      i. Test Plan created collaboratively with the State, including the following elements:
         1. Use Case/Test Scripts
         2. Expected Results
         3. Requirement ID from the RTM tied to the test case/script
      ii. UAT testing status/dashboards based on test execution, on a day to be mutually determined during the planning phase of this Stream 7 (daily at the request of the State),to include:
         1. Requirement coverage
         2. % tests executed
         3. % tests passed
         4. Defects (quantity, severity, and status)

6. Training Deliverables
   a. Training Plan that outlines the approach (including roles and responsibilities),

tasks, resources, dependencies, and schedule.

b. Training Materials:
   I. One recorded WebEx session that explains the 1095 mailer and corresponding details around how to handle questions regarding the mailer.
   II. One At-A-Glance document that provides definitions in the 1095 mailer
   III. One Quick Reference Guide that will provide the agents with tips on how to find the corresponding 1095 data in Siebel

c. Training Results:
   i. VHC Trainer survey results
   ii. End of Training Survey results
   iii. End of Training Knowledge Check results

7. Implementation (and post implementation) Deliverables
   a. Report on the business impact of the planned deployment and coordination with State Operations to plan for that impact, including communication to the State, explaining changes in business process required at time of deployment. The report shall be due as defined in the MS Project Plan.
   b. Implementation Plan that shall be due by Contractor as defined in the DDI MS Project Plan.
   c. Production Phase Gate and Operational Readiness that shall due by Contractor as defined in the DDI MS Project Plan.
   d. VHC solution code and COTS Configuration that shall be due prior to production cut-over or as defined in the project plan.
   e. Post Implementation Validation Report that shall be due as defined in the DDI MS project plan.

F. State Obligations

1. The State shall provide seating space for the Contractor to be located in the State offices; to the extent either party, determines that State Facilities are not sufficient to accommodate Contractor Staff, the Contractor shall propose space alternatives, together with the appropriate level of detail on pricing and location subject to State's approval.

2. The State will ensure that necessary licenses and software are available to be added to Contractor workstations.

3. The State will provide Contractor with levels of access to necessary systems appropriate for the services being provided in support of the application, including providing Virtual Private Network (VPN) access to State's system as currently made available to subcontractors.

4. The State has all necessary licenses for any necessary COTS software and hardware and State will maintain technical support for any COTS Software and hardware throughout the term of the services, where the COTS software includes, without limitation, the OneGate 3.3.2.7 software (the "OneGate 3.3.2.7 Software" or higher version) and associated license and documentation (the "OneGate 3.3.2.7 Documentation" or higher version) from Armedica, LLC ("Armedica").

5. The State represents that under the terms of the OneGate 3.3.2.7 or higher version Documentation, and the maintenance and operations agreement between the State and Armedica for technical support services to the OneGate 3.3.2.7 Software or higher version (collectively, the "Armedica Agreement"), the State has the authority to provide Contractor and any of Contractor's subcontractors identified in writing to the State (the "Identified Subcontractor") with access to the OneGate 3.3.2.7 or higher version Software and the OneGate 3.3.2.7 or higher version Documentation, as well as any OneGate Software Modification and OneGate Documentation Modification, as those terms are defined below (collectively, the "OneGate for HIX Software and Documentation"). "Access," as used in this paragraph means the right to use, copy, test, implement and install, the OneGate for HIX Software and Documentation solely for the benefit of the State. The State agrees that such access as proposed in this paragraph is necessary to copy and test new code.

6. If and to the extent the State and Contractor determine that in order to implement and maintain and support the application, there is a requirement for new releases, updates, modifications, work arounds, error corrections and/or bug fixes to be made to the OneGate 3.3.2.7 or higher version of the Software (the "OneGate Software Modifications") and to applicable documentation (the "OneGate Documentation Modifications"), whether to address functional or non-functional requirements or to remediate software defects with the OneGate 3.3.2.7 or higher version of the Software, the State shall have the following responsibilities:

   (1) The State shall communicate the requirements for such OneGate Software Modifications and OneGate Documentation Modifications (collectively, the "OneGate Modified Product") to Armedica for Armedica to incorporate such OneGate Software Modifications and OneGate Documentation Modifications as part of Armedica's COTS product.

   (2) To the extent provided to the State by Armedica, the State shall communicate to Contractor whether Armedica will provide a OneGate Modified Product, and if so, the time frame by which Armedica estimates it will supply to the State a OneGate Modified Product that has been developed, tested and ready for installation in a production environment by Contractor as part of the Stream 7 services.

      i. The State shall be solely responsible for the procurement of such OneGate Modified Product. The State acknowledges that the time required by Armedica to produce the OneGate Modified Product shall affect the Contractor's ability to implement VHC enhancements and that Contractor shall not be liable for any delays associated with the availability of the OneGate Modified Product.

7. The State shall also authorize and appoint Contractor to serve as two (2) of the four (4) points of contact who are authorized to communicate with Armedica for purposes of opening trouble tickets and/or communicating issues with the OneGate 3.3.2.7 Software or higher version under the Armedica Agreement to the extent such direct communication is required for Contractor to provide those test, implementation and installation services that are within Contractor's scope of work for such OneGate 3.3.2.7 Software or higher version. Contractor acknowledges that under the Armedica Agreement, (i) Armedica will only disclose information required for the performance of the obligations under the Armedica Agreement; and (ii) Armedica has agreed to hold the State's confidential information in confidence and to disclose confidential information only to those employees or agents who are subject to binding obligations to protect Armedica against unauthorized disclosure and to use it only for the purposes of, and subject to the restrictions of, the Armedica Agreement. "Confidential information" means terms and pricing under the Armedica Agreement, any DVHA confidential information and all information clearly identified as confidential at the time of disclosure or which a person acting reasonably would understand to be confidential.

8. State staff will be available on a timely basis and in accordance with the MS Project Plan.

9. The State will provide timely decisions to resolve issues and risks, and provide project direction.

10. Provide Contractor with access to relevant data structures, documentation, applications, databases, and artifacts when requested by the Contractor and agreed by the State to support the performance of services.

I. <u>Additional Provisions</u>

1. Changes to the State Requirements are subject to the change control process specified in the Project Management Plan.

2. The State shall be responsible for services to be provided by Archetype.

3. Contractor shall provide licenses for HP ALM at no charge to the State for the duration of this contract. Use of these tools upon completion of this Stream 7 is at the State's discretion and the cost for future use these tools will be included in subsequent contracts and/or amendments.

G. *Key Project Personnel*

Contractor shall assign the following Contractor staff (an "*" indicates "Key Project Personnel" as defined in III Organization and Staffing (account team below), to meet the requirements of Stream 07:

Optum VHC Roles	Activity and Work Product
Program Management	
Business Functions Associate Partner I	• Overall responsibility for delivery of Contractor services
Program Director	• Provides leadership and direction to the Optum project managers regarding delivery of Contractor services in accordance with project deliverables and work products • Collaborate with the State on project direction and execution
Project Manager(s)	• Provide daily direction to Optum Contractor team • Report status of Optum Contractor Stream 7 activities • Collaborate with State on project direction and execution • Provide input and updates to the VHC IMS • Lead Optum project management execute and control activities, as defined in the PMP.
Program Administration Specialist	• Assist Optum Contractor Project Manager(s) with project management administrative activities, includes onboarding resources, meeting facilitation, and State communications. • Assist Optum project team with financial administrative activities including time tracking, reporting, and invoicing
Program Administration Specialist	• Assist Optum project team with administrative activities
Project Manager / Analysts	• Assist Contractor Project Manager(s) with: o Inputs to the VHC PMP and IMS. • Project management execute and control activities, as defined in the PMP •
Project Manager (Implementation Manager) Analyst (Implementation Analyst)	• Create or Modify Implementation Cutover plan • Create or modify Operational Readiness and transition plan • Conduct Go/No Go meetings and maintain implementation and post implementation risk log. • Single point of Contact for all Implementation activities

Requirements/Design	
Design and Development Engineer (Architect Lead/Technical Lead)	• Prepare Requirements Validation and Design of New Functionality plan and coordinate execution • Prepare IT Solution Development plan (developed at the conclusion of Design activities)
Design and Development Engineer - Functional/Business Architect	• Lead JRM and JAD session activities resulting in: o Functional Gap Impact Analysis o Requirements Validation Report o Functional design specifications ▪ Use cases specifications for custom functionality ▪ Configuration specifications for configuration updates to commercial-off-the-shelf (COTS) software package configuration o Updated requirements traceability matrix (RTM), traces requirement to design specification
Design and Development Engineer - Technical Architect	• Assess impact of functional enhancements to the technical architecture and update technical specifications, as appropriate
Analyst - Business / System Analysts	• Draft Functional GAP Impact Analysis • Prepare Functional Design Specifications
Analyst - Technical Analyst	• Assist Technical Architect with impact assessment and updates to technical specifications
Development	
Senior Director Project Level 1 (DDI Director) * Project Manager * Design and Development Engineer (Infrastructure Architect Infrastructure Analyst Application Architect Database Architect Configuration Analyst (Siebel, OneGate, Benaissance, OPA, OBIEE, etc.) Developers) Analyst (System Analyst	• Code/Configuration Delivery • Unit Testing and Certification • Defect Remediation o Research and validate issues o Determine if issue is a defect in code, configuration, design, or requirement o Determine preliminary plan and level of effort for defect remediation o Assign and execute remediation tasks i. Code Changes ii. Configuration iii. Requirement Changes - Obtain business sign-off for changes to agreed requirements o Prioritize defects and package into patch releases o Coordinate patch releases with QA team i. Assist in release management • Update impacted deliverables • Create unit/integration test results documentation • Assist in creation of Q/A Phase Gate documentation • Work with business to help implement process changes required to support defect fixes including any:

Business Analyst Security Architect) Project Manager/Analyst (Implementation Manager * Implementation Analyst)	o Workarounds o Additional reporting • Manual reconciliations
QA, System Integration, Regression, Security and Performance Test	
Senior Project Director Level 1 (QA Director *) Quality Assurance Manager	• Provides quality management oversight and direction to the project
Quality Assurance Manager	• Create or Revise Test Plan • Coordinate testing (script development, execution, and reporting) • Manage testing life cycle status • Lead test case and script identification/development • Prepare regression suite • Lead test case and script execution • Report testing status (dashboard) on daily/weekly/monthly basis • Lead test script (case) development • Lead test script (case) execution • Report testing status (dashboard) on daily/weekly/monthly basis (SIT)
Quality Assurance Analysts	• Develop test cases and scripts • Conduct execution testing • Document results • Support defect resolution
Design and Development Engineer 6	• ALM Administrator
User Acceptance Test	
Senior Project Director Level 1 (QA Director *) Quality Assurance Manager	• Manage UAT status • Lead execution of UAT activities • Lead test script (case) development • Lead test script execution • Report testing status (dashboard) on daily/weekly/monthly basis (UAT)
Quality Assurance Analysts	• Review and prepare additional scripts based on input from State SMEs • Conduct execution testing along with State UAT testers • Document results

	• Support the documentation and escalation of defects identified during UAT test execution for resolution
Training	

Analyst (Training Analyst)
 	
Analyst (Trainer)
	Training Activities
	• Create/Update Training Plan
	  o Create/Update Training Material
	  o Conduct Training.
	•

Implementation and Post Implementation	

Senior Director Project Level 1 (DDI Director) *
 	
Project Manager *
 	
(Implementation Lead
 	
Implementation Analyst)
 	
Design and Development Engineer(
 	
Configuration Management Lead)
	Implementation activities:
	• Implementation Plan
	  o Cut-over plan
	  o Acceptance criteria
	• Organization change management communication to the business
	• Production Phase Gate and Operational Readiness
	• Manage Go-live
	• Post-implementation validation

EXHIBIT Z
Stream 7 State Technical and Functional Requirements

Request #	Description	Reported By	Date
CC-001	Automatic CoC (and CoI, SEP)	Justin Tease	10/14/2014
BR Identifier	**Business Requirement**	**Category**	**Scope**
2015.CC.001.1	System shall provide capability to record and process address changes	CoC	In-Scope
2015.CC.001.2	System shall provide capability to record and process contact details changes regarding Email and Phone	CoC	In-Scope
2015.CC.001.3	System shall provide capability to record and process changes in responsible party	CoC	In-Scope
2015.CC.001.4	System shall provide capability to record and process changes on member details regarding name, SSN, DOB, and Marital Status.	CoC	In-Scope
2015.CC.001.5	System shall provide capability to add dependent on qualifying event to the existing policy	CoC	In-Scope
2015.CC.001.6	System shall provide capability to terminate dependent from existing policy	CoC	In-Scope
2015.CC.001.7	System shall provide capability to terminate dependent from existing policy for non-payment reported by carriers.	CoC	In-Scope
2015.CC.001.8	System shall process termination of member coverage from Medicaid programs and report to ACCESS	CoC	In-Scope
2015.CC.001.9	System shall process termination of member coverage reported via MMIS	CoC	In-Scope
2015.CC.001.10	System shall provide capability to downgrade coverage level using a different plan at household or member level.	CoC	In-Scope
2015.CC.001.11	System shall process change in income, and allow customer to modify coverage based on resulting eligibility determination	CoC	In-Scope
2015.CC.001.12	System shall support change in legal status for a household member	CoC	In-Scope
2015.CC.001.13	System shall allow override capability on eligibility determination arising out of fair	CoC	In-Scope

	hearing and process change in the coverage		
2015.CC.001.14	System shall allow retroactive terminations and additions for any qualifying event	CoC	In-Scope
2015.CC.001.15	System shall allow removal of Head of Household and transfer coverage for remaining members under a new Head of Household	CoC	In-Scope
2015.CC.001.16	System shall automatically identify age-offs into various Medicaid programs and process change in coverage at each member level	CoC	In-Scope
2015.CC.001.17	System shall allow dependents in foster care	CoC	In-Scope
2015.CC.001.18	System shall allow new customer to enroll mid-year due to loss of coverage	CoC	In-Scope
2015.CC.001.19	System shall allow new customer to enroll due to permanent move to Vermont	CoC	In-Scope
2015.CC.001.20	System shall allow new customer to enroll employer coverage being unaffordable	CoC	In-Scope
2015.CC.001.21	System shall allow new customer belonging to Native American tribe any time of the year	CoC	In-Scope
Request #	**Description**	**Reported By**	**Date**
CA-014	IRS 1095a and IRS notices	Justin Tease	10/14/2014
BR Identifier	**Business Requirement**	**Category**	**Scope**
2015.CA.014.1	System shall provide capability to Generate 1095A at the end of the year	Compliance and Audit	In-scope
2015.CA.014.2	Form 1095A should be automatically queued for printing and mailing	Compliance and Audit	In-Scope
2015.CA.014.3	System shall report enrollment and changes periodically to IRS	Compliance and Audit	Out of scope
Request #	**Description**	**Reported By**	**Date**
EN-018	SSN & temp SSN functionality	Justin Tease	10/14/2014
EN-026	Align paper application and Online Application questions	Justin Tease	10/14/2014
EN-034	Medicare Eligible	Justin Tease	10/14/2014
EN-044	Exemption Processing	Justin Tease	10/14/2014
EN-049	Alternate Address	Justin Tease	10/14/2014

EN-136	Allocation of dental EHB % by Tier	Justin Tease	10/14/2014
CM-055	Eligibility History View	Justin Tease	10/14/2014
EN-010	Automated Household Notices (2, 5, 7, 8,9)	Justin Tease	10/14/2014

BR Identifier	Business Requirement	Category	Scope
2015.EN.018.1	System shall provide capability to enroll customer without SSN	Enrollment	In-scope
2015.EN.018.2	System shall provide capability to change SSN for an existing customer	Enrollment	In-scope
2015.EN.018.3	System shall provide capability to enroll customer with a dummy SSN	Enrollment	In-scope
2015.EN.026.1	Information collected using paper application should match that being captured online for enrollment and eligibility	Enrollment	In-scope
2015.EN.034.1	System shall automatically determine Medicare Eligibility of a household member during enrollment	Enrollment	In-scope
2015.EN.034.2	System shall alert and provide capability to enroll or terminate member from QHP or Medicaid as they age-in/offs during the calendar year	Enrollment	In-scope
2015.EN.044.1	System shall allow caseworker to process Exemption Certificates issued by the Federally Facilitated Marketplace (FFM) on behalf of individuals or families	Enrollment	In-scope
2015.EN.044.2	System shall allow applicant to enroll in catastrophic plan if applicant qualifies for an Affordability or Hardship exemption	Enrollment	In-scope
2015.EN.049.1	System shall provide capability to capture alternate addresses at the household and member level	Enrollment	In-scope
2015.EN.136.1	TBD - Check Email Conversation	Enrollment	In-scope
2015.CM.055.1	System shall provide Eligibility History View in Siebel	Case Management	In-scope
2015.EN.010.1	System shall automatically generate notice of eligibility decision (EE005) as soon as all items marked for verification are completed and be available in the system	Enrollment	In-Scope
2015.EN.010.2	EE005 Notices should be	Enrollment	In-Scope

	automatically queued for printing and mailing		
Request #	**Description**	**Reported By**	**Date**
IF-120	Akamai Tuning	DII	10/14/2014
BR Identifier	**Business Requirement**	**Category**	**Scope**
2015.IF.120.1	Validate and expand WAF rule set		In-Scope
2015.IF.120.2	Implement DNS failover functionality		In-Scope
2015.IF.120.3	Validate static asset pipeline and cache busting strategy to maximize cache use		In-Scope
Request #	**Description**	**Reported By**	**Date**
IF-126.1	Environment Remediation	Optum	10/14/2014
BR Identifier	**Business Requirement**	**Category**	**Scope**
2015.IF.126.1.1	Number of virtual machines		In-Scope
2015.IF.126.1.2	CPU sizing across VM's performing the same task in each environment		In-Scope
2015.IF.126.1.3	RAM allocation across VM's performing the same task in each environment		In-Scope
2015.IF.126.1.4	Physical host and hypervisor configuration		In-Scope
2015.IF.126.1.5	OS file system sizing		In-Scope
2015.IF.126.1.6	Application file system sizing (nominally the /u01 and /u02 mounts)		In-Scope
2015.IF.126.1.7	Kernel revision and patching		In-Scope
2015.IF.126.1.8	OS package installation and patching		In-Scope
2015.IF.126.1.9	Oracle COTS product revisions, modules, and patching		In-Scope
2015.IF.126.1.10	Installation of appropriately licensed Oracle product suite		In-Scope
2015.IF.126.1.11	Installation paths		In-Scope
2015.IF.126.1.12	Installation defaults		In-Scope
2015.IF.126.1.13	All file system access permissions, grants, and authorizations		In-Scope
2015.IF.126.1.14	Security audit and remediation		In-Scope
2015.IF.126.1.15	Deployment method for stack components (automated or manual)		In-Scope
2015.IF.126.1.16	Deployment of OneGate components including composites, Siebel repositories, portlets, and OPA revisions shall be consistent across environments except as impacted by DDI/QA activities		In-Scope
2015.IF.126.1.17	Presence of, and degree of, external partner integration with valid corresponding environments at integration partners		In-Scope
2015.IF.126.1.18	ACLs		In-Scope

2015.IF.126.1.19	Routing, load balancing, and IP port access[1]		In-Scope
2015.IF.126.1.20	VLAN configuration		In-Scope
2015.IF.126.1.21	Subnet addressing and hostname schemes		In-Scope
2015.IF.126.1.22	IDM roles and seed accounts		In-Scope
2015.IF.126.1.23	Seed data for CRM and Portal		In-Scope
2015.IF.126.1.24	LDAP tiers, configuration, and structure		In-Scope
2015.IF.126.1.25	DNS configuration		In-Scope
Request #	**Description**	**Reported By**	**Date**
IF-126.2	Environment Creation	Optum	10/14/2014
BR Identifier	**Business Requirement**	**Category**	**Scope**
2015.IF.126.2.1	The sandbox environment shall contain the same number of virtual machines as the existing DEV1 environment		In-Scope
2015.IF.126.2.2	The VM's shall have the same RAM and CPU sizing as in the existing DEV1 environment		In-Scope
2015.IF.126.2.3	The core OS and kernel versions shall be the same as in the existing DEV1 environment		In-Scope
2015.IF.126.2.4	The core OS and kernel patching shall be the same as in the existing DEV1 environment		In-Scope
2015.IF.126.2.5	The file system sizing, permissions, access grants, quotas, shall be the same as in the existing DEV1 environment		In-Scope
2015.IF.126.2.6	The versions of all Oracle stack products, modules, enhancements, and patching shall be the same as in the existing DEV1 environment		In-Scope
2015.IF.126.2.7	The VLAN structure, IP address allocation scheme, contents of ACL's, IP port rules, and traffic routing shall be consistent with the DEV1 environment		In-Scope
2015.IF.126.2.8	Environment shall support external partner integration, including CMS, payment processor, and carriers		In-Scope
2015.IF.126.2.9	The installed OneGate version shall be determined according to Development needs		In-Scope
2015.IF.126.2.10	Account roles and shall be the same as in the existing DEV1 environment		In-Scope

2015.IF.126.2.11	The CRUD matrix shall be the same as in the existing DEV1 environment		In-Scope
2015.IF.126.2.12	The CRM seed data shall be the same as in the existing DEV1 environment		In-Scope
2015.IF.126.2.13	IDM seed data shall be the same as in the existing DEV1 environment		In-Scope
Request #	**Description**	**Reported By**	**Date**
IF-126.3	Environment Creation	Optum	10/14/2014
BR Identifier	**Business Requirement**	**Category**	**Scope**
2015.IF.126.3.1	The QA environment shall contain the same number of virtual machines as the existing DEV1 environment		In-Scope
2015.IF.126.3.2	The VM's shall have the same RAM and CPU sizing as in the existing DEV1 environment		In-Scope
2015.IF.126.3.3	The core OS and kernel versions shall be the same as in the existing DEV1 environment		In-Scope
2015.IF.126.3.4	The core OS and kernel patching shall be the same as in the existing DEV1 environment		In-Scope
2015.IF.126.3.5	The file system sizing, permissions, access grants, quotas, shall be the same as in the existing DEV1 environment		In-Scope
2015.IF.126.3.6	The versions of all Oracle stack products, modules, enhancements, and patching shall be the same as in the existing DEV1 environment		In-Scope
2015.IF.126.3.7	The VLAN structure, IP address allocation scheme, contents of ACL's, IP port rules, and traffic routing shall be consistent with the DEV1 environment		In-Scope
2015.IF.126.3.8	Environment shall support external partner integration, including CMS, payment processor, and carriers		In-Scope
2015.IF.126.3.9	The installed OneGate version shall be determined according to Development needs		In-Scope
2015.IF.126.3.10	Account roles and shall be the same as in the existing DEV1 environment		In-Scope
2015.IF.126.3.11	The CRUD matrix shall be the same as in the existing DEV1 environment		In-Scope
2015.IF.126.3.12	The CRM seed data shall be the same as in the existing DEV1 environment		In-Scope
2015.IF.126.3.13	IDM seed data shall be the same as in the existing DEV1 environment		In-Scope
Request #	**Description**	**Reported By**	**Date**
IF-126.4	Environment Creation	Optum	10/14/2014

BR Identifier	Business Requirement	Category	Scope
2015.IF.126.4	It copies 2015.IF.126.3.13		In-Scope
Request #	**Description**	**Reported By**	**Date**
IF-126.5	Environment Creation	Optum	10/14/2014

BR Identifier	Business Requirement	Category	Scope
2015.IF.126.5.1	The UAT environment shall contain the same number of virtual machines as the existing TST/PRD environment		In-Scope
2015.IF.126.5.2	The VM's shall have the same RAM and CPU sizing as in the existing TST/PRD environment		In-Scope
2015.IF.126.5.3	The core OS and kernel versions shall be the same as in the existing TST/PRD environment		In-Scope
2015.IF.126.5.4	The core OS and kernel patching shall be the same as in the existing TST/PRD environment		In-Scope
2015.IF.126.5.5	The file system sizing, permissions, access grants, quotas, shall be the same as in the existing TST/PRD environment		In-Scope
2015.IF.126.5.6	The versions of all Oracle stack products, modules, enhancements, and patching shall be the same as in the existing TST/PRD environment		In-Scope
2015.IF.126.5.7	The VLAN structure, IP address allocation scheme, contents of ACL's, IP port rules, and traffic routing shall be consistent with the DEV1 environment		In-Scope
2015.IF.126.5.8	Environment shall support external partner integration, including CMS, payment processor, and carriers		In-Scope
2015.IF.126.5.9	The installed OneGate version shall be determined according to Development and testing needs		In-Scope
2015.IF.126.5.10	Account roles and shall be the same as in the existing TST/PRD environment		In-Scope
2015.IF.126.5.11	The CRUD matrix shall be the same as in the existing TST/PRD environment		In-Scope
2015.IF.126.5.12	The CRM seed data shall be the same as in the existing TST/PRD environment		In-Scope
2015.IF.126.5.13	IDM seed data shall be the same as in the existing TST/PRD environment		In-Scope
2015.IF.126.5.14	The high availability and load balancing characteristics of the environment shall be the same as in the existing TST/PRD environment		In-Scope

Request #	Description	Reported By	Date
SD-144	HP ALM Implementation and Migration	Optum	10/14/2014
BR Identifier	**Business Requirement**	**Category**	**Scope**
2015.SD.144.1	The Quick Test Professional platform shall be installed and configured		In-Scope
2015.SD.144.2	The Quality Center Enterprise platform shall be installed and configured		In-Scope
2015.SD.144.3	The Performance Center platform shall be installed and configured		In-Scope
2015.SD.144.4	The Load Runner platform shall be installed and configured		In-Scope
2015.SD.144.5	The platform shall import relevant test cases and data from Smartbear ALM		In-Scope
2015.SD.144.6	The platform shall contain all testable requirements at such time as these requirements are released		In-Scope
2015.SD.144.7	The Platform shall migrate relevant configurations and workflows from Smartbear ALM		In-Scope
Request #	**Description**	**Reported By**	**Date**
SD-145	SDLC Management Tool	Optum	10/14/2014
BR Identifier	**Business Requirement**	**Category**	**Scope**
2015.SD.145.1	Be accessible from both cloud and public endpoints		In-Scope
2015.SD.145.2	Support a process to manage work items		In-Scope
2015.SD.145.3	Support a process for source code management		In-Scope
2015.SD.145.4	Support open source SCM tools, including GIT		In-Scope
2015.SD.145.5	Be cross platform (Windows, UNIX-like, and OS X) compatible		In-Scope
2015.SD.145.6	Support server based and local workspaces		In-Scope
2015.SD.145.7	Support Requirements traceability		In-Scope
2015.SD.145.8	Support workflows for Continuous integration		In-Scope
2015.SD.145.9	Use a declarative build scripting language similar to ANT or MAVEN		In-Scope
2015.SD.145.10	Support open source IDE's including Eclipse		In-Scope
2015.SD.145.11	Provide a public API for custom integration		In-Scope
2015.SD.145.12	Provide a unit testing workflow and reporting to track unit test results		In-Scope

V. Attachment B, Payment Provisions. Section 1 of Attachment B is hereby deleted and replaced as follows:

The total maximum amount payable under this Contract shall not exceed $40,772,718. All rates set forth in this contact are all-inclusive; no expenses, benefits or insurance will be deemed reimbursable to the Contractor by the State under this Contract.

Stream	Services	Deliverable Due Date	Amount
Stream 1	IT Plan	July 3, 2014	$497,663
Stream 2	Operations Stabilization Plan	June 27, 2014	$117,875
Stream 3	Supplemental Operations Support	Via Task Order	$12,117,953*
Stream 4	IT Project Management and other Stream 4 Services	Via Task Order	$11,832,561**
Stream 5	DDI-VHC 2015 Open Enrollment and Renewals Workaround Solution	November 30, 2014	$2,341,219***
Stream 6	Maintenance and Operations services	In accordance with Attachment G	$6,427,133****
Stream 7	Design, Development and Implementation Services through January 31, 2015	In accordance with Attachment A	$7,379,981 *****
Real Estate	As needed for additional space.	Until 12/31/2014	$58,333
		Total	$40,772,718

* Time and materials, dependent on task order

** As of September 15, 2014, Stream 4 Services are comprised of:

Stream 4 Total pre 9/15/14	6,378,948
Security Task Order – Bronze Level Security as a Service	5,453,613
Stream 4 Total post- 9/15/14	$11,832,561

Time and Material means a basis of payment to the Contractor where the State will reimburse the Contractor an hourly rate connecting to Exhibit I of this Attachment B. This rate includes wages, overhead, general and administrative expenses, travel and profit for each category of labor to be performed by the Contractor. No materials will be separately paid unless otherwise stipulated in a task order or change order.

For all work performed on a Time and Materials basis, Contractor shall provide weekly Hours and Personnel reporting as described below. The following information shall also be provided as supporting detail to the Contractor's monthly invoice. Additional status reporting information is described in the appropriate deliverable sections for each stream and / or Task Order under this contract.

Not less than weekly, the Contractor shall report on the activities of personnel defined in the Stream / Task Order Staffing and Cost Table that must include all of the following:

1. Hours Report
    - Total hours authorized under the Stream / Task Order by labor category
    - Total Hours expended per individual during the most recent week reported by category of work performed
    - Total hours expended under Stream / Task Order to date
    - Summary of worked performed for the period by category of work performed

2. Personnel Report:
    - List of all individuals working on the Stream / Task Order showing:
        - Individual's Name,
        - Individual's Work Title
        - Hours worked
        - High level tasks/activities performed

If a month end occurs on any day but Friday, Optum shall deliver two reports that match the month-end invoice. The weekly reports will include all hours expended for the seven days prior to the date of the Report. These weekly reports will be delivered as Excel workbooks in a mutually agreed format.

***Stream 5 will be compensated by the State on a time and material basis. Services performed between September 15, 2014, and October 7, 2014 that are in conformity with Stream 4 or 5 of Attachment A and or an associated Task Order shall be billable hereunder.

**** Stream 6 Maintenance and Operations services will be compensated on a Time and Materials basis, as needed until the earlier to occur of (i) December 31, 2014; (ii) the execution of a New M&O Contract. If the New M&O Contract is entered into prior to October 31, 2014, this Stream 06 shall terminate effective October 31, 2014 and if the New M&O Contract is entered into after October 31, 2014 but prior to November 30, 2014, this Stream 06 shall terminate effective November 30, 2014.

Contractor must obtain written agreement from the State before beginning work under Stream 6 that creates missing functionality stated within the CGI contract or fixing a defect related to the 10/1/13 implementation (DDI).

The State will consider tasks that create missing functionality stated within the CGI contract or fixing a defect related to the 10/1/13 implementation (DDI).

1. All other tasks will be considered M&O.

2. All invoices must include the detail by approved task and category.

2014 Team / Role	Total Hours	Rate	Total Price	Steady State	Transition/DDI
M&O App	21,440		$3,235,058	$2,264,541	$970,517
Analyst Level 3	2,217	$124	[illegible]	[illegible]	[illegible]
Analyst Level 4	5,949	$127	[illegible]	[illegible]	[illegible]
Database Management Specialist	1,387	$132	$183,465	$128,426	[illegible]
Project Manager	2,091	$207	[illegible]	[illegible]	$129,223
Senior Project Director Level	664	$260	[illegible]	$125,634	[illegible]
Renaissance Business Analyst	[illegible]	$255	[illegible]	[illegible]	[illegible]
Renaissance QA	528	$255	[illegible]	$94,248	[illegible]
OM Developer	528	$305	$161,146	$112,802	$48,344
OM Lead	528	$367	[illegible]	[illegible]	[illegible]
Onegate Maintenance and Operations (M&O)	528	[illegible]	[illegible]	[illegible]	[illegible]
M&O Infra	17,396		$3,192,075	$2,234,452	$957,622
Analyst Level 4	[illegible]	$127	[illegible]	[illegible]	[illegible]
Database mgmt specialist	1,387	$132	$183,465	$128,426	[illegible]
Design & Development Engineer Level 3	744	$155	[illegible]	[illegible]	[illegible]
Design & Development Engineer Level 4	6,411	$178	[illegible]	[illegible]	[illegible]
Network Engineer	[illegible]	$144	$7,252	[illegible]	$2,175
Performance Engineer	2,775	$132	[illegible]	[illegible]	[illegible]
Project Manager	[illegible]	$207	[illegible]	[illegible]	[illegible]
Environment Manager	528	$367	[illegible]	[illegible]	[illegible]
RMW Developer/Installer	528	$328	$172,973	[illegible]	$51,892
CB EE Consultant	528	$305	$161,146	$112,802	$48,344
Siebel Developer/Installer	528	$305	$161,146	$112,802	$48,344
SOA Senior Developer	528	$232	[illegible]	[illegible]	[illegible]
Labor Only			$6.427.133	$4.498.993	$1.928.140
Real Estate	-		$58,333		
Sub Total			$6,485,467		

<u>Stream 7 Rate Breakdown</u>

*****Stream 7 will be compensated by the State on a time and material basis for services performed between November 15, 2014 and January 31, 2015.

Lewin Rate Card Retro Activity

For purposes of Contractor's compliance requirements, the Lewin Staff section in Exhibit 1 to Attachment B, Rate Card table, as added in Amendment 2, and as included herein, is hereby made retroactive to the June 9, 2014, the date of the Original Contract.

Lewin Staff	RATE
SVP	**$374**
VP	**$316**
Managing Consultant	**$288**
Senior Consultant	**$259**
Consultant	**$190**
Research Consultant	**$161**
SR Research Analyst	**$104**
Admin Assistant	**$81**

VI. Taxes Due to the State. Contractor certifies under the pains and penalties of perjury that, as of the date this contract amendment is signed, the Contractor is in good standing with respect to, or in full compliance with a plan to pay, any and all taxes due the State of Vermont.

VII. Certification Regarding Suspension or Disbarment. Contractor certifies under the pains and penalties of perjury that, as of the date this contract amendment is signed, neither Party nor Party's principals (officers, directors, owners, or partners) are presently debarred, suspended, proposed for debarment, declared ineligible or excluded from participation in federal programs, or programs supported in whole or in part by federal funds.

Except as modified by this Amendment No. 4, all provisions of the original contract remain in full force and effect.

The signatures of the undersigned indicate that each has read this amendment to Contract # 26801 in its entirety and agrees to be bound by the provisions enumerated therein.

WE THE UNDERSIGNED PARTIES AGREE TO BE BOUND BY THIS CONTRACT.

BY THE STATE OF VERMONT:

E-SIGNED by Robert Skowronski on 2014-12-16 20:37:38 GMT December 16, 2014

ROBERT SKOWRONSKI DATE
312 Hurricane Lane, Suite 201
Williston, VT 05495-2087
Phone: 802-879-5901
Email: Robert.Skowronski@state.vt.us

BY THE CONTRACTOR:

E-SIGNED by Jean Benson on 2014-12-16 20:32:35 GMT December 16, 2014

JEAN BENSON, VP FINANCE Date
13625 Technology Drive
Eden Prairie, MN 55344
Phone: 952-917-7931
Email: jean.benson@optum.com