

**FIRST AMENDMENT TO THE AMENDED AND RESTATED SOW NO. 1,
FIRST AMENDMENT TO SOW NO. 2,
FIRST AMENDMENT TO SOW NO. 3 AND
FIRST AMENDMENT TO SOW NO. 4**

This First Amendment to the Amended and Restated SOW No. 1, First Amendment to SOW No. 2, First Amendment to SOW No. 3, and First Amendment to SOW No. 4 (collectively, the "Amendment"), effective as of March 27, 2014 (the "SOW Amendment Effective Date"), is made to the Amended and Restated Statement of Work No. 1, effective December 17, 2012 ("SOW No. 1"), Statement of Work No. 2, effective May 1, 2013 ("SOW No. 2"), Statement of Work No. 3, effective May 1, 2013 ("SOW No. 3") and Statement of Work No. 4 ("SOW No. 4"), effective December 17, 2012 (collectively, the "SOWs") to that certain Master Services Agreement first dated as of December 13, 2012, as amended February 28, 2013 and August 12, 2013 (the "MSA"), by and between State of Vermont ("SOV") and Supplier Technologies and Solutions Inc. ("Supplier", and together with SOV the "Parties"). Unless otherwise defined herein, capitalized terms used herein shall have the meanings given to such terms in the MSA.

WHEREAS, the Parties have determined that changes to the performance schedule and payment terms under the SOWs is in their respective interests;

WHEREAS, the Parties wish to amend the SOWs to reflect such changes; and

WHEREAS, the Parties wish to memorialize certain other agreements with respect to under the MSA.

NOW, THEREFORE, in consideration of the promises herein contained and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, and intending to be legally bound hereby, the Parties agree as follows:

1. Deliverables to be Invoiced Upon Execution of Amendment. Upon execution of this Amendment, SOV will approve for invoicing the deliverables identified in Attachment 1 hereto. Following SOV's receipt of such invoices, SOV will process and pay such invoices in accordance with the terms of the MSA.

2. New Key Deliverables Schedule.

2.1 **Performance.** Supplier will perform the Services in accordance with a new Key Deliverable Schedule attached hereto as Attachment 2 (the "Key Deliverable Schedule").

2.2 **Scope of Services.** For the avoidance of doubt, unless stated in a Change Order executed by the Parties in accordance with the Change Control Procedures, the scope of the Services remains unchanged.

3. Payment Terms for Key Deliverables.

3.1 **Payment for Key Deliverables.** In consideration of performance of the milestones set forth in the Key Deliverable Schedule, upon Supplier's achievement of all applicable acceptance criteria for a Key Deliverable (including without limitation the "General Acceptance Criteria for all Release Packages" set forth in the Key Deliverable Schedule), the determination of which shall be at SOV's sole discretion, Supplier may invoice SOV in an amount equal to the Payment Milestone Value for the respective Key

STATE OF VERMONT
DEPARTMENT OF VERMONT HEALTH ACCESS
CGI Technologies and Solutions Inc.
Contract #23701

Deliverable set forth on Attachment 2 (together with the Charges for the Deliverables set forth in Attachment 1, the “Revised Payments”). Subject to the holdback on Key Deliverable payments and any applicable discount described below, SOV will pay such invoices in accordance with the payment terms as set forth in the MSA. The Revised Payments are in lieu of and hereby supersede all SOV payment obligations under the following:

(a) Section L-1.1, Deliverables and Invoice Amount Schedule of Exhibit L to the MSA.

(b) Section 3, Cost Proposal – Table - Premium Processing Implementation Deliverables, of Schedule C to SOW No. 2. For the avoidance of doubt, Variable Operations and Maintenance Costs shall not be included in the Revised Payments, and shall remain in full force and effect, subject to all other terms and conditions of SOW No. 2 and the MSA.

(c) The payment schedule in Schedule C to SOW No. 3.

3.2 Holdback on Payments for Key Deliverables. SOV will withhold ten percent (10%) of amounts otherwise payable for each Key Deliverable in the Key Deliverable Schedule until such time as Supplier has completed all acceptance criteria for the four Key Deliverables, and SOV has issued a written acceptance for the Exchange, which if not received within thirty (30) days of SOV’s written acknowledgment that the acceptance criteria for Key Deliverable 4 has been met (and only if SOV has previously provided written acknowledgment of Supplier’s completion of the acceptance criteria for Key Deliverables 1, 2 and 3) will be deemed to have been received. Upon written acceptance of the Exchange, or upon thirty (30) days from SOV’s written acknowledgment that the acceptance criteria for Key Deliverable 4 has been met (and only if SOV has previously provided written acknowledgment of Supplier’s completion of the acceptance criteria for Key Deliverables 1, 2 and 3), whichever occurs first, the full amount of the holdback will be promptly paid to Supplier in accordance with the invoicing and payment terms as set forth in the MSA.

3.3 Discount for Late Delivery of Key Deliverables. In the event that Supplier fails to meet applicable acceptance criteria for any Key Deliverable by the applicable due date as set forth in the Key Deliverable Schedule, SOV will be entitled to a discount off of the Charges with respect to such Key Deliverable (the “Discount”). The amount of the Discount in each case will accrue in accordance with Attachment 3 attached hereto.

(a) Application of Discount. SOV may elect to apply the Discount by deducting the amount of the Discount from any portion of the Charges payable to Supplier under the MSA or to apply the Discount in the form of a credit against future fees for Services, in which case the credit will have a value equal to the amount of the Discount. SOV shall notify Supplier in writing of SOV’s election at the time at which SOV intends to apply the Discount.

(b) Maximum Discount. The total amount of Discounts shall not exceed Two Million US Dollars (\$2,000,000.00).

(c) Extension of Delivery Date for Key Deliverables. If SOV and/or one or more third parties (not including Supplier contractors) contributes to circumstances that would cause Supplier to fail to meet one or more Key Deliverables by the applicable due date(s), the applicable due date for such Key Deliverable will be adjusted through the Change Control Procedures. In the event that either Party believes that SOV and/or one or more third parties (not including Supplier contractors) is contributing to

circumstances that may cause Supplier to fail to meet a Key Deliverable by the applicable due date, such event will be escalated promptly to the Commissioner of the Vermont Department of Health Access. Supplier's failure to promptly, and in any event prior to the applicable Key Deliverable date as set forth in Attachment 2 below, escalate the event to the Commissioner of the Vermont Department of Health Access will result in Supplier's irrevocable waiver of any right to adjust the applicable due date for a Key Deliverable.

3.4 Supplier Contractor Dependence. The Parties acknowledge and agree that it is critical that Supplier meet the Key Deliverable date for Key Deliverable 4. Further, the Parties recognize that Key Deliverable 4 has a critical dependency on the ability of Supplier's contractor, Exeter Group, Inc. ("Exeter"), to deliver Release 3.3.2.9 on or before May 9, 2014, as previously communicated to SOV and Supplier by Exeter. In the event that Exeter fails to deliver Release 3.3.2.9 on or before May 9, 2014, and Supplier fails to meet the Key Deliverable date for Key Deliverable 4 due to such failure by Exeter, upon Supplier's written request, SOV will agree to extend the Key Deliverable date for Key Deliverable 4 up to thirty (30) days and SOV will not be entitled to a Discount for the Supplier's failure to meet the original Key Deliverable date for Key Deliverable 4 due to Exeter's delay. However, in the event of such an extension of the Key Deliverable date for Key Deliverable 4, the following will occur:

(a) If the extension is between one (1) to fifteen (15) days from the then current Key Deliverable date for Key Deliverable 4, Supplier will forfeit one month of Charges related to Software Maintenance, totaling One Hundred Nineteen Thousand, Two Hundred and Eighty One US Dollars and Eighty-Eight Cents (\$119,281.88).

(b) If the extension date is between sixteen (16) to thirty (30) days from the then current Key Deliverable date for Key Deliverable 4, Supplier will forfeit a second month of Charges related to Software Maintenance, totaling another One Hundred Nineteen Thousand, Two Hundred and Eighty One US Dollars and Eighty-Eight Cents (\$119,281.88).

(c) SOV will be entitled to a Discount in the event that Supplier fails to meet the new Key Deliverable date for Key Deliverable 4 in accordance with paragraph (c) above. For avoidance of doubt, if Supplier fails to meet the original Key Deliverable date Key Deliverable 4 due to causes other than Exeter's failure to deliver Release 3.3.2.9, SOV will have no obligation to extend the Key Deliverable date for Key Deliverable 4 and will be entitled to a Discount in accordance with Section 3.3 above.

4. Payment under SOW No. 4.

4.1 Payment of Withheld Invoices. Immediately upon the execution of this Amendment, SOV agrees to pay Supplier the amount of Eight Million Eight Hundred and Forty Thousand Six Hundred and Eighty Two US Dollars and Fifty One Cents (\$8,840,682.51), which represents all previously withheld amounts of Invoice US315017772, Invoice US315018584 and Invoice US315018298; and all but Nine Hundred Thirty Eight Thousand, Two Hundred and Ninety-Three US Dollars and Seventy-Five Cents (\$938,293.75) (the "Remaining Hosting/DR Amount") of withheld amounts of Invoice US315017925, Invoice US315017977, Invoice US315017772, Invoice US315017659, Invoice US315018300 and Invoice US315018585 (all seven invoices, collectively, the "Hosting/DR Invoices").

4.2 Right to Withhold Remaining Hosting/DR Amount and Holdback. Until such time as SOV acknowledges in writing that Supplier has met the Hosting and Disaster Recovery Acceptance Criteria as well as the Acceptance Criteria for the Non-Functional RTM set forth in Attachment 4 to this Amendment:

STATE OF VERMONT
DEPARTMENT OF VERMONT HEALTH ACCESS
CGI Technologies and Solutions Inc.
Contract #23701

(a) SOV may continue to withhold payment of the remaining Nine Hundred Thirty Eight Thousand, Two Hundred and Ninety-Three US Dollars and Seventy-Five Cents (\$938,293.75) outstanding on the Hosting/DR Invoices; and

(b) SOV will withhold fifteen percent (15%) of amounts otherwise payable on all future invoices for “Application Support in Hosting Services”, “Full Implementation of Hosting Services”, and “Software Maintenance”.

4.3 **Right to Withhold Late Delivery of Final Key Deliverable.** In the event that Supplier fails to meet any applicable acceptance criteria for any Key Deliverable before the Key Deliverable date for the final Key Deliverable, SOV will have the right to withhold payment on all invoices for “Application Support in Hosting Services”, “Full Implementation of Hosting Services”, and “Software Maintenance”, until such time as Supplier has met the acceptance criteria for such final Key Deliverable.

5. Other Agreements.

5.1 Liquidated Damages.

(a) **Assessment and Deferral of Liquidated Damages.** The Parties’ acknowledge that, pursuant to a November 21, 2013 Liquidated Damages Notice, SOV assessed against Supplier Liquidated Damages in the amount of Five Million One Hundred and Two Thousand Four Hundred Ninety Two US Dollars and Ninety-One Cents (\$5,102,492.91) (the “Assessed Liquidated Damages”), and deducted those Assessed Liquidated Damages from Invoice US315017772, Invoice US315017771, Invoice US315017378, Invoice US315017379, and Invoice US315017658 (collectively, the “Deducted Invoices”). The Parties further acknowledge that SOV subsequently agreed to defer its collection of the Assessed Liquidated Damages from Supplier until a later date and Supplier acknowledges receipt of a payment from SOV of Five Million One Hundred and Two Thousand Four Hundred Ninety-Two US Dollars and Ninety-One Cents (\$5,102,492.91) on February 28, 2014. Notwithstanding SOV’s temporary deferral of its assessment of the Assessed Liquidated Damages until a later date, the Parties acknowledge and agree that SOV does not in any way limit, waive or release any of its rights or remedies under the MSA with respect to the Assessed Liquidated Damages, including its right to deduct the Assessed Liquidated Damages from other amounts payable to Supplier under the MSA or any subsequent amendment to the MSA. Other than the Assessed Liquidated Damages, SOV agrees that SOV’s right to assess liquidated damages under Schedule C to the MSA as incorporated by reference in SOW No.1 and SOW No. 4, Schedule C to SOW No. 2 and Schedule C to SOW No. 3 is hereby replaced and superseded by SOV’s right accrue Discounts as set forth in Section 2(c) above.

(b) **Waiver of Right to Contest.** Except as set forth in Section 5(c) below, Supplier hereby waives its right to contest SOV’s assessment of the Assessed Liquidated Damages, including SOV’s right to deduct the Assessed Liquidated Damages from any amounts payable to Supplier under the Agreement or any subsequent amendment to the Agreement, or Supplier’s right to earn back any of the Assessed Liquidated Damages.

(c) **Revocation of Supplier’s Waiver of Right to Contest.** In the event that SOV fails to meet the following criteria associated with amounts payable for Key Deliverables 1 and 2 as set forth in Section 2 above, then Supplier’s waiver of its rights to contest the Assessed Liquidated Damages and earn back any of the Assessed Liquidated Damages shall be revocable, at Supplier’s sole discretion:

**STATE OF VERMONT
DEPARTMENT OF VERMONT HEALTH ACCESS
CGI Technologies and Solutions Inc.
Contract #23701**

(i) As applicable, SOV will apply best efforts to submit invoices to the Center for Medicare and Medicaid Services (“CMS”) for approval within three (3) business days of the acceptance criteria for Key Deliverables 1 and 2 being met; and

(ii) SOV will apply best efforts to make payment to Supplier for invoices for Key Deliverables 1 and 2, net of applicable holdbacks and Discounts, within three (3) business days of SOV receiving CMS approval for payment for such invoices.

6. Service Level Credits. Notwithstanding anything otherwise set forth herein, Supplier will perform the Services in accordance with the all applicable Service Levels as set forth in the MSA, including each SOW and, commencing as of the date of execution of this Amendment, Supplier will apply credits applicable for any failure to meet such Service Levels to each invoice in accordance with the terms set forth in the MSA and each SOW, as applicable.

7. Staffing Commitments. Without limitation of any of Supplier’s obligations in the Agreement, as amended hereby, Supplier acknowledges and agrees that it will maintain levels of staffing adequate to complete the new Key Deliverables.

8. Improved Governance Model. The Parties acknowledge the importance of and agree to continue to enhance and improve upon project governance to achieve improved communications, efficient operations and the successful implementation of the remaining scope of work.

Except as expressly set forth in this Amendment, all provisions of the Agreement and the SOWs remain in full force and effect and neither party waives any rights or remedies under the Agreement or otherwise. This Amendment is integrated into and forms part of the MSA as of the Amendment Effective Date. This Amendment constitutes the entire agreement between the Parties with respect to the subject matter of this Amendment. All prior agreements, promises, negotiations or representations, oral or written, relating to the subject matter of this Amendment, not otherwise expressly set forth herein, are of not force or effect.

IN WITNESS WHEREOF the parties have executed this Amendment as of the Amendment Effective Date.

STATE OF VERMONT

**CGI TECHNOLOGIES
AND SOLUTIONS INC.**

By: _____

By: _____

Name: _____

Name: _____

Type or Print

Type or Print

Title: _____

Title: _____

Attachment 1
Deliverables to be Invoiced to SOV

Access Integration (SOW 3)			
Go-Live Decision - September - Milestone 5			249,400.00
September Go-Live Complete - Milestone 6			691,890.00
Go-Live Decision - December - Milestone 7			249,400.00
Total Access Integration			1,190,690.00
Benaissance (SOW 2)			
Benaissance - October Release			393,395.20
Benaissance - State CSR - Test Report			131,131.73
Benaissance - State Premium Subsidy Test Report			131,131.73
Benaissance (D-29) - Test Reports			393,395.20
Total Benaissance			1,049,053.86
HBE (SOW 1)			
D-34 "Federal Hub Group 1 ICD"			398,819.00
D-35 "Federal Hub Group 2 ICD"			498,524.00
D-17 "Business Rules"			642,425.00
The below will be processed based on a percent complete:			
D-22 "Training Materials"	1,606,813.00	30%	482,043.90
D-23 "User Manuals"	1,606,813.00	30%	482,043.90
D-26 "Implementation Plan"	1,285,450.00	30%	385,635.00
D-29 "Test Reports"	1,606,813.00	30%	482,043.90
D-30 "Go-Live Document"	1,606,813.00	30%	482,043.90
D-31 "M&O Manual"	1,285,450.00	30%	385,635.00
D-18 "System Design Document"	1,285,450.00	30%	385,635.00
D-19 "Database Design Document"	642,725.00	30%	192,817.50
D-25 "Information Security Risk Assessment"	1,606,813.00	30%	482,043.90
D-27 "Contingency/Recovery Plan"	1,285,450.00	30%	385,635.00
Total HBE			5,685,345.00
Combined Deliverables to be Approved for Invoicing			7,925,088.86

ATTACHMENT 2
Key Deliverables Schedule

Table 1: Key Deliverables

General Acceptance Criteria for all Release Packages

Prior to migration:

- SOV has received, reviewed, and approved CGI SIT test scripts and has been provided SIT test results for CGI testing activity of new functionality and corrected defects as defined by Exeter’s release notes documentation for OneGate releases 3.3.2.3 – 3.3.2.7, 3.3.2.8 & 3.3.2.9.
- No Sev 1 or High Sev 2 defects (as defined in Section 1.1.1 of Exhibit E) exist from CGI’s SIT effort.
- There are no open Sev 1 or High Sev 2 (as defined in Section 1.1.1 of Exhibit E) UAT defects

After migration:

- Each release package is expected to effectively deliver all of the changes detailed in the release notes authored by CGI with no unexpected negative impact on system stability or business processes.

Acceptance of the criteria set forth under this General Acceptance Criteria for all Release Packages will occur once CGI closes all Sev1 or Sev2 defects (as defined in Section 1.1.1 of Exhibit E) related to deployment identified during two business days following implementation of the package in the live environment.

Key Deliverable	Payment Milestone Number	Key Deliverable Date	Milestone	Scope & Specific Acceptance Measure (s)	Payment Milestone Value
1	1	3/11/14	Implement the Individual & Family eligibility, enrollment and premium billing functionality.	<p>Scope</p> <ul style="list-style-type: none"> • Carrier testing complete for initial Individual enrollments with no open Sev 1 or Sev 2 defects with BCBSVT; MVP and Delta * * CGI not to be penalized for Delta inability to process transactions • VHC can deliver eligibility notices to applicants and enrollees of VHC. <ul style="list-style-type: none"> ○ Notices: EE005 - Joint CGI/SOV SIT/UAT Testing complete with no open Sev 1 defects. First batch delivered to eligible recipients based on milestone date. 93% accuracy rate based on SOV audit of demographic and eligibility determination data elements. 	\$ 6,753,711.81

Key Deliverable	Payment Milestone Number	Key Deliverable Date	Milestone	Scope & Specific Acceptance Measure (s)	Payment Milestone Value
				<ul style="list-style-type: none"> • Interim Change of Circumstance <ul style="list-style-type: none"> ○ Deployed into live production a system that enables targeted and trained SOV users to successfully operate with expected outcome the following three SOP's that define the agreed-upon Interim Change Process (ICP): ○ Change of Information (CoI) ○ Change of enrollment – prior to sending 834 to Carriers. (Pre Carrier) ○ Change of enrollment – after sending 834 to Carriers. (Post Carrier) • The system is deemed accepted upon the SOV implementation of the SOP. • Completion of the Initial Penetration Test of the Payment Pages and the remediation of identified vulnerabilities • Delivery of the SAR Delivery of the POAM • VHC can process effectuated enrollment in the LIVE environment, evidenced by no Sev1 or Sev2 defects, excluding errors that are caused by State of Vermont or Carrier data issues. 	
2	2	3/4/14	Release Package #1: 3.3.2.7, inclusive of HF 1 - 4	<p>Scope:</p> <ul style="list-style-type: none"> • Electronic Payments (Credit/Debit/ACH) for Individual and Family is released and available in the Live environment • OneGate release 3.3.2.7 (including functionality contained in 3.3.2.3, 3.3.2.4, 3.3.2.5, 3.3.2.6) 	\$ 6,753,711.81
3	3	5/21/14	Release Package #2: Implement OneGate 3.3.2.8	<p>Scope:</p> <ul style="list-style-type: none"> • The package will consist of the following User Scenarios which are comprised of a subset of requirements in D-14: Requirements Traceability Matrix (RTM) as documented in the User Scenario-RTM mapping document included as Appendix A to this Attachment 2: <ul style="list-style-type: none"> ○ Issuer Initiates Term ○ Exchange Initiates Term ○ Individual (or Assister) Initiates Term ○ Employer (or Assister) Initiates Term ○ Employee (or Assister) Initiates Term ○ Employer (or Assister) Initiates Change 	\$ 3,376,855.91

Key Deliverable	Payment Milestone Number	Key Deliverable Date	Milestone	Scope & Specific Acceptance Measure (s)	Payment Milestone Value
				<ul style="list-style-type: none"> ○ Employee (or Assister) Initiates Change ○ Individual (or Assister) Initiates Change ○ Case Worker Initiates Change (Individual, Employer, Employee) ● Electronic Recurring Payments (Credit/Debit/ACH) for Individual and Family is released ● Functionality inclusive of <ul style="list-style-type: none"> ○ Front end data capture and rules processing; ○ Back-end update and storage of updated case and eligibility determinations; and ○ Integration to Benaissance (premium billing), QHP (834 & 820) and Dental carriers, and ACCESS (MAGI Medicaid eligibility)* <p>* CGI not to be penalized for Carrier and/or SOV inability to supporting testing activities based on the mutually agreed-to project schedule</p>	
3	4	4/1/14	Stabilization of Enrollment and Billing Data Transfer	<p>Scope:</p> <p>VHC has delivered the batch automated enrollment messages (834s) to BCBSVT, MVP and Delta in the LIVE environment and the carriers have agreed to accept data in this format</p>	\$ 1,688,427.96
3	5	5/1/14	Data Consistency Review and Remediation	<p>Scope:</p> <p>Leveraging existing process, tools and contract requirements, perform defined tasks designed utilizing the VHC live operational data stores including Siebel, OBIEE, ECM, OPA, and MDM for data consistency issues that resulted from CGI pre-live activities and post go-live testing in the live environment. The scope of data consistency activities shall include the following items:</p> <p>Specific Acceptance Criteria:</p> <ul style="list-style-type: none"> ○ Test Data – review and eliminate test data introduced into the live environment prior to 12/31/13 through an approach mutually 	\$ 1,688,427.95

Key Deliverable	Payment Milestone Number	Key Deliverable Date	Milestone	Scope & Specific Acceptance Measure (s)	Payment Milestone Value
				<p>agreed-to between CGI and SOV, for completion no later than the end date for this milestone, as long as the approach is agreed-to no later than one month prior to the Key Deliverable Date for this milestone.</p> <ul style="list-style-type: none"> ○ All Sev1 and Sev2 defects related to data integrity and introduced through the solution prior to 12/31/13 and are routed through Remedy will be resolved by the Key Deliverable Date for this Milestone. ○ LOV mismatches - review of LOVs for incorrect, invalid or mis-matched LOV data values introduced as a result of defects in the live environment prior to 12/31/13 ○ Consistent with the existing review process, CGI will review and comment on any SOV Standard Operating Procedures (SOPs) related to data consistency and/or temporary workarounds received 5 days prior to the Key Deliverable Date for this milestone. ○ Recommendations for more restrictive CSR access to the Siebel CSR UI and/or recommendation for and implementation of changes to field edits for data entry points into the VHC, including the OneGate Portal UI no later than the Key Deliverable Date for this milestone. ○ Documentation of root causes of data integrity issues and joint collaboration with SOV in developing resolution. Any additional scope or requirements will be managed through the CR process. <p>Note: Given that OneGate is a COTS product, CGI is dependent on product releases for any OneGate Portal recommendations CGI cannot guarantee the timing of any recommended OneGate Portal changes.</p>	
4	6	7/2/14	Release Package #3: Implement OneGate 3.3.2.9	<p>Scope:</p> <ul style="list-style-type: none"> • The package will consist of the following User Scenarios which are comprised of a subset of requirements in D-14: Requirements Traceability Matrix (RTM) as documented in the User Scenario-RTM mapping document included as Appendix A to this Attachment 2: <ul style="list-style-type: none"> a. Issuer De-certifies plan b. Individual, Employee, Employer, Assister Upload Documents in Portal 	\$3,474,125.03

Key Deliverable	Payment Milestone Number	Key Deliverable Date	Milestone	Scope & Specific Acceptance Measure (s)	Payment Milestone Value
				<ul style="list-style-type: none"> c. Case Worker Manages Payment Discrepancy d. Premium Processor Provides Financial Data e. Manage Partial Payment f. Send IRS Report via Fed Hub (IRS Reporting) g. Exchange Re-verifies via HuB h. Initiates Appeals i. General Ledger j. Access to Appeals k. Internal Staff Access to Rules Engine l. Pre-Screening m. Links to Plan Details n. Employee Informed of Tax Relief o. Small Business functionality with Electronic and Recurring payment <p>2. Functionality inclusive of</p> <ul style="list-style-type: none"> a. Front end data capture and rules processing; b. Back-end update and storage of updated case and eligibility determinations; and c. Integration to Benaissance, QHP and Dental Carriers, and ACCESS * <p>* CGI not to be penalized for Carrier and/or SOV inability to supporting testing activities based on the mutually agreed-to project schedule</p>	

APPENDIX A to Attachment 2
User Scenario-RTM Mapping Document

This Appendix A to Attachment 2 serves to organize certain of the remaining RTM deliverables into the Release Packages set forth under Table 1: Key Deliverables within Attachment 2. For the avoidance of doubt, this Appendix A to Attachment 2 does not alter the scope of requirements under the MSA as defined in D-14: Requirements Traceability Matrix (RTM). The RTM deliverables described in D-14 not yet delivered and not yet aligned to a Release Package as defined within Appendix A to Attachment 2 remain to be scheduled and are expected to be delivered prior to SOV acceptance of completion of the remaining DDI scope of work under the MSA.

Req#	Updated Description	Term-Isset	Term-Exchange	Term-Individual	Term-Employer	Term-Employee	Change-Employee	Change-Individual	Change-Case Worker	Change-Employer	Upload Docs	Payment-Data	Payment-Discrepancy	Payment-Partial	Decrypt Plan Issuer	Appeals-Access	Appeals-Rules	Appeals-Initiate	IRS Report	Re-Verification	General Ledger	Pre-Screening	Link to Plan Details	Yes	Make Electronic Payments	Employee is Informed of Tax Refile	Make Recurring Payments	Small Biz or Assister Make Payment	User is Notified (Initial Email)	Pkg 1	Pkg 2	Pkg 3	
A-19	The specific BI requirements for Exchange data have not been identified, but it will involve KPI definition, trend analysis, forecasting, statistical analysis, and aggregation of eligibility, enrollment and plan data. This data will include, but is not limited to: - Cost breakdown per individual - Cost breakdown per employee (SHOP) - Cost breakdown per employer - Plan data - Individual and employee financial data - Premium and CSR subsidy data - Enrollment data - Enrollee demographics																							Yes							Yes	Yes	
A-9	The Exchange needs to keep track of all individual identity changes (e.g., marriage, legal name change, etc.) so that name searches under any name an individual has been know will be successful.							Yes																							Yes		
GACM-008	Allow Customer Service Supervisors to merge multiple individual cases into one, or split single cases into multiples cases when they deem it warranted.						Yes																								Yes		
GACM-017/BusGPS	Provide a mechanism for role-based access control for any changes to the rules or parameters in the rules engine.													Yes																		Yes	
GACM-018	Track changes made to an account in an auditable log.					Yes	Yes		Yes																					Yes	Yes		
GACM-04	Allow Caseworkers and Customer Support staff to modify the eligibility/enrollment record to indicate beginning and ending dates of coverage and specify the program or product for which the individual is eligible.							Yes																						Yes			
GACM-12	Allow Caseworkers and Customer Support Staff to add to a individual's information.							Yes																						Yes			
GACM-13	Allow Caseworkers and Customer Support Staff to change or modify an individual's information.						Yes																							Yes			
GACM-16	Allow Caseworkers and Customer Support staff to add new data into the individual's eligibility details (income sources, citizenship, immigration status, etc.).						Yes																							Yes			
GACM-17	Provide a mechanism for role-based access control for any changes to the rules or parameters in the rules engine.														Yes																Yes		
GAG-013	The system shall provide options to secure complaints/appeals for confidentiality reasons (e.g. hide consumer name) and allow access to cases by specified consumer support staff.														Yes																	Yes	
GAG-018	The system shall provide notifications to the appropriate parties upon the following key events in the complaint/appeal process: - Receipt of complain t/appeal, - Status Change, - Resolution																Yes															Yes	
GAG-09	The system shall support the process for sending appeals/complaints to be reviewed by appropriate parties within and outside the State and recording decisions, adding documentation, etc.																															Yes	
GAG-36	The system shall provide the ability to upload attachments to all individual and correspondence records.								Yes						Yes																Yes		

Req#	Updated Description	Term-Isuer	Term-Exchange	Term-Individual	Term-Employer	Term-Employee	Change-Employee	Change-Individual	Change-Case Worker	Change-Employer	Upload Docs	Payment Data	Payment-Discrepancy	Payment-Partial	Identify Plan-Isuer	Appeals-Access	Appeals-Rules	Appeals-Initiate	IRS Report	Re-Verification	General Ledger	Pre-Screening	Links to Plan Details	Make Electronic Payments	Employee is Informed of Tax Relief	Make Recurring Payments	Small Bus or Assister Make Payment	User is Notified (Initial Enroll)	Pkg 1	Pkg 2	Pkg 3
EL-006	Present a more detailed level of screening questions to be addressed at the option of the Individual.																					Yes								Yes	
EL-017	Provide the ability to generate online and written notification of the result of an Individual's eligibility determination, including the basis for denial if denied coverage.																									Yes			Yes		
EL-021	Send notifications to the Individuals, Exchange Staff, Brokers, and Navigators of changes to Individuals' applications.						Yes																						Yes		
EL-037	Allow qualified Native Americans to switch plans on a monthly basis.						Yes																						Yes		
EL-050	Provide capability to manually update incarceration status based documentation provided by the Individual (e.g. release papers).						Yes																						Yes		
EL-051	Produce an immediate on-screen notification of a positive incarceration data match, and allow the Individual of ability to provide alternate documentation or an attestation of incarceration status.								Yes																				Yes		
EL-066	Reassess and determine eligibility based on the new circumstances. For every data field, the system must be configurable to force an eligibility determination/re-determination based on revised data input.						Yes																						Yes		
EL-067	Provide consumers the ability to view the new determination of eligibility after the change in circumstances.						Yes																						Yes		
EL-068	Provide users the ability to choose new health plans after the re-determination process based on the new circumstances.						Yes																						Yes		
EL-071	Allow Exchange Staff, customers, call center staff and Navigators to add, update, modify and delete household composition information.						Yes																						Yes		
EL-073	Allow Exchange Staff, call center staff and Navigators to merge or associate different household members together.						Yes																						Yes		
EL-074	Provide the ability to split family relationships and to assign certain field information to the appropriate people.						Yes																						Yes		
ELM-002	The following MAGI related data items should be requested in the pre-screening: financial, residency, person specific (age, gender, pregnant, disability, tribal affiliation) relationships to other household members																					Yes								Yes	
ELM-010	Allow business users, as determined by the State, to easily read / modify the eligibility determination rules with minimal IT support.															Yes														Yes	
ELM-025	Allow and record an applicant's request to withdraw an application.																														
ELM-035	Prepopulate documents with existing information and provide applicants the opportunity to update or correct discrepant information.						Yes																						Yes		
ELM-046	Provide the capability to determine and correct eligibility for current and prior months.					Yes	Yes																						Yes		
ELM-053	Provide a mechanism to indicate that an eligibility determination is under review... Amended to original per SOV to say "Provide the functionality to reinstate service coverage until the Administrative Appeals decision is rendered."							Yes									Yes												Yes	Yes	

Req#	Updated Description	Term-Issuer	Term-Exchange	Term-Individual	Term-Employer	Term-Employee	Change-Employee	Change-Individual	Change-Care Worker	Change-Employer	Upload Docs	Payment-Data	Payment-Discrepancy	Payment-Partial	Decertify-Plan-Issuer	Appeals-Access	Appeals-Rules	Appeals-Initiate	IRS-Report	Re-Verification	General-Ledger	Pre-Screening	Links to Plan Details	Make Electronic Payments	Employee is Informed of Tax Relief	Make Recurring Payments	SmallBiz or Assistor Make Payment	User is Verified (Initial Enroll)	Pkg 1	Pkg 2	Pkg 3
ELM-057	Provide the capability to perform mass changes due to changes in status as well as program changes.	Yes																													Yes
ELM-061	Allow applicant/beneficiaries to self-report changes in their personal information online, described by the State when changes are made. (Not by beneficiaries)						Yes																								Yes
ELM-062	Provide the capability to view the new determination of eligibility after the change in information.						Yes																								Yes
ELM-063	Automatically close beneficiaries/households/categories based on applicable eligibility rules resulting from changes in information and track closure reasons.	Yes																													Yes
ELM-066	Allow authorized users to update, add persons, and relationships to an existing household and maintain a history thereof.						Yes																								Yes
ELM-067	Change the status of any individual in a household without terminating eligible household members.						Yes																								Yes
ELM-075	Recalculate and redetermine eligibility when a change in circumstance occurs (e.g., household composition changes, child turning 19).						Yes																								Yes
ELM-083	Flag any household record Change of Circumstance so that the eligibility workers can determine the derivation of the Change of Circumstance.						Yes																								Yes
ELM-084	Flag household record Change of Circumstance and allow DHS to designate changes that will be automatically accepted, pending for review, maintained as notes, rejected or other action.					Yes	Yes																								Yes
ELM-085	Alert eligibility workers or a processing queue when beneficiary information is updated through an automated interface.																		Yes												Yes
EN-012	Provide hyperlinks to Issuer/Plan sites for individuals to obtain further information from Issuers																					Yes									Yes
EN-022	Prepare an electronic notice to CMS with a minimum dataset of information regarding an individual's enrollment in a qualified health plan through the Exchange, following the receipt of acknowledgement from the issuer.						Yes																								Yes
EN-023	Prepare and electronic, real-time electronic transmission to the issuer of an individual's selected qualified health plan regarding changes to the individual's information, including to his or her levels of advance premium tax credits or cost-sharing reductions, or regarding a decision by an individual to renew his or her enrollment in the qualified health plan.						Yes																								Yes
EN-024	Process the electronic confirmation / acknowledgement of receipt of enrollment changes received by an issuer.						Yes																								Yes
EN-025	Provide capability to receive electronic notifications from issuers regarding disenrollment and initiate disenrollment process	Yes																													Yes
EN-026	Provide the capability for an individual to request a voluntary disenrollment from a QHP.		Yes																												Yes
EN-027	If conditions for a voluntary disenrollment (e.g. issuer notifies Exchange of failure to pay QHP premiums beyond the grace period, issuer or Exchange reports a change in eligibility, etc.), initiate the disenrollment process.	Yes	Yes																												Yes

Req#	Updated Description	Term-Issuer	Term-Exchange	Term-Individual	Term-Employer	Term-Employee	Change-Employee	Change-Individual	Change-Case Worker	Change-Employer	Upload Docs	Payment-Data	Payment-Discrepancy	Payment-Partial	Decertify Plan-Issuer	Appeal-Access	Appeal-Rules	Appeal-Initiate	IRS Report	Re-Verification	General Ledger	Pre-Screening	Links to Plan Details	Make Electronic Payments	Employee & Informed of Tax Relief	Make Recurring Payments	Small Bus or Assistant Make Payment	User is Notified (initial Enroll)	Pkg 1	Pkg 2	Pkg 3			
EN-028	If an individual initiates a voluntary disenrollment through the Exchange and not directly with the Issuer, produce an electronic notification to the Issuer to disenroll an individual.			Yes																														
EN-029	Update user accounts based on disenrollment notification from issuers or disenrollments initiated by the Exchange.	Yes	Yes																											Yes				
EN-030	Prepare a notice to CMS with a minimum dataset of information regarding an individual's disenrollment from a qualified health plan through the Exchange.	Yes	Yes	Yes																										Yes				
EN-031	When a plan is decertified, initiate the health plan enrollment process for affected individuals (based on special enrollment period rules).	Yes					Yes								Yes														Yes	Yes				
EN-037	Automatically identify and process issuer discrepancies and payment information											Yes																			Yes			
EN-040	Generate annual report to IRS about QHP enrollment																		Yes												Yes			
EN-36	Periodically and on an ad hoc basis provide electronic report to issuers about individual QHP enrollment data	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes																				Yes				
EN-8	Generate written notification to individuals who select at Tax Credit Advance of the possibility of tax penalties / liabilities at time of tax filing should their annual income increase.																										Yes				Yes			
FM-002	Transmit daily transactional 834 transaction file in a HIPAA compliant format of individuals enrolled in QHPs to CMS	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes																					Yes				
FM-003	Generate monthly 834 transaction file in a HIPAA compliant format of individuals enrolled in QHPs, including Federal APTC, CSR amounts to support the monthly reconciliation process with CMS and Issuers.	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes																					Yes				
FM-004	Transmit monthly 834 transaction file in a HIPAA compliant format of individuals enrolled in QHPs, including Federal APTC, CSR and State Premium Subsidy and CSR amounts to CMS to support the monthly reconciliation process with CMS.	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes																					Yes				
FM-005	Transmit monthly 834 transaction file in a HIPAA compliant format of individuals enrolled in QHPs, including Federal APTC, CSR and State Premium Subsidy and CSR amounts to Issuers to support the monthly reconciliation process with Issuers.	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes																					Yes				
FM-006	Update Exchange financial data with Federal APTC, CSR, State Premium Assistance, and State CSR payments to Issuers for updating into the State's General Ledger, and forward to the Premium Processor.																				Yes											Yes		
FM-019	Aggregate Small Business premium based on Exchange enrollment requirements																									Yes					Yes			
FM-024	Produce email notification to Small Business that invoice is ready, and to logon to Exchange to see the invoice																										Yes					Yes		
FM-027	Provide functionality that allows a Small Business to create a notification that invoice discrepancy exists.												Yes																			Yes		

Req#	Updated Description	Term-Issuer	Term-Exchange	Term-Individual	Term-Employer	Term-Employee	Change-Employee	Change-Individual	Change-Case Worker	Change-Employer	Upload Docs	Payment-Data	Payment-Discrepancy	Payment-Partial	Identify-Plan-Issuer	Appeals-Access	Appeals-Rules	Appeals-Initiate	MS-Report	Re-Verification	General Ledger	Pre-Screening	Links to Plan Details	Make Electronic Payments	Employee is Informed of Tax Ricker	Make Recurring Payments	Small Bus or Assister Make Payment	User is Notified (Initial Email)	Plg 1	Plg 2	Plg 3
FM-028	Provide the ability for small businesses to pay premiums via electronic payment on Exchange with options to pay by ACH Debit (Automated Clearing House) and debit/credit card in compliance with the Payment Card Industry Data Security Standards.																							Yes							Yes
FM-029	Receive and process premium payments from Small Businesses.																									Yes					Yes
FM-031	Support small businesses making recurring or scheduled premium payments to the Exchange.																								Yes				Yes		
FM-033	Provide the ability for small businesses to view payment history and data.																									Yes				Yes	
FM-035	Record individual premium payment option.																								Yes				Yes		
FM-040	The invoice notification would include a website address to login to the Exchange and make an electronic payment.																							Yes				Yes			
FM-046	Provide the ability for individuals and family units to pay premium via ACH Debit (Automated Clearing House) and debit/credit card in compliance with the Payment Card Industry Data Security Standards for public and private plans.																							Yes				Yes			
FM-048	Support individual and family units making recurring or scheduled premium payments to the Exchange.																								Yes				Yes		
FM-051	When electronic payment methods are used record payment type and premium payment amount and card surcharges, if any.																							Yes				Yes			
FM-056	Produce daily data feed to the Exchange of Small Business premiums due, payments made, and payments applied to premiums																									Yes				Yes	
FM-059	Receive Small Business invoice discrepancy notification.											Yes																		Yes	
FM-060	Provide inquiry screens to research the Small Business discrepancy											Yes																		Yes	
FM-061	Notify authorized users of the Small Business reported discrepancy.											Yes																		Yes	
FM-062	Provide capability for small businesses to update small business account and make adjustments.							Yes																						Yes	
FM-067	Provide for processing adjustments for bad checks or payments due to NSF or other reasons.																														
FM-076	Provide process to update the individual and family unit account with an invoice adjustment as a result of a discrepancy resolution.											Yes																		Yes	
FM-078	Generate and send invoice adjustment (positive or negative) when there is a change in circumstance that affects the amount due for premiums.						Yes	Yes																					Yes		
FM-085	The system will provide screens to update Exchange records with corrected invoice / payment information for Issuers, Small Businesses, or Individual (including Family Unit) records.											Yes																		Yes	
FM-107	The Exchange system will summarize and apply general ledger coding to the financial transactions																				Yes									Yes	
FM-108	The Exchange system will update Vision with aggregated financial information																				Yes									Yes	
FM-112	The System shall create regular and ad-hoc reporting on an as-needed basis to govern and monitor the Exchange financial health based on the HBE data store										Yes																			Yes	

Req #	Updated Description	Term-Issuer	Term-Exchange	Term-Individual	Term-Employee	Change-Employee	Change-Individual	Change-Case Worker	Change-Employer	Upload Docs	Payment Data	Payment Discrepancy	Payment Partial	Identify Plan-Issuer	Appeals-Access	Appeals-Rules	Appeals-Initiate	IRS Report	Re-Verification	General Ledger	Pre-Screening	Link to Plan Details	Make Electronic Payments	Employee is Informed of Tax Relief	Make Recurring Payments	Small Bus or Assister Make Payment	User is Notified (Initial Email)	Fig 1	Fig 2	Fig 3		
FM-113	Provide selected financial information required to support building the Exchange Annual Financial Report as required by CMS and other state entities, including information sent by Premium Processor to the HBE data store.										Yes																				Yes	
MO-026	Allow for retroactive plan enrollment based on criteria established by DHS.						Yes																								Yes	
New-004	The Exchange System will provide the tools and information required to support the audit of the financial aggregate report from the General Ledger through to the Premium Processor financial transactions.										Yes																				Yes	
New-006	The Exchange system provide an aggregated report in a GAAP compliant format for each Small Business: QHP Premiums for a reporting period (month) Payments made, period to date (month) Payments applied to QHP premiums for a period (month)																								Yes						Yes	
New-009	The Exchange system shall provide the State transaction financial information weekly.																					Yes		Yes	Yes					Yes	Yes	
New-010	The Premium Processor system shall provide HIPP payment transaction summaries to the State Finance & Management system (daily, weekly or										Yes																				Yes	
New-012	The Exchange system shall provide an aggregated report where the information is GAAP compliant with details available for Individual NSF transaction summaries.										Yes																				Yes	
New-014	The Premium Processor shall provide financial data to the Exchange to support analytics and reporting.										Yes																				Yes	
New-017	The Premium Processor system shall provide the data to support reporting of credit card fees to the CGI Solution monthly.																					Yes				Yes						
New-017a	The System shall provide monthly reports on credit card fees.																					Yes									Yes	
New-018	The System shall generate a file of individuals enrolled in QHPs, including State Premium Subsidy, State CSR amounts to support the monthly reconciliation process with State and Issuers	Yes	Yes	Yes			Yes	Yes																							Yes	
New-023	Generate daily transactional file on all individual enrollment updates for the Exchange including State CSR amounts						Yes																								Yes	
New-101a	Send premium payment reports to the State's Medicaid Business Office.										Yes																				Yes	
New-103	Send termination notification to the Premium Processor.	Yes	Yes	Yes	Yes	Yes																									Yes	Yes
New-106	Receive notification of termination from Issuers			Yes																											Yes	
New-110	Quarterly, provide the data to the Exchange to support the reporting of the state premium subsidy payments that have not been forwarded to the Issuer due to a lack of matching premium payments from the individual.										Yes																				Yes	
New-160	Invoice the consumer for NSF fees, collect the NSF fee from the consumer, and remit to the State.										Yes																				Yes	
New-170	Invoice the small business for NSF fees, collect the NSF fee from the small business and remit to the State.										Yes																				Yes	

Req#	Updated Description	Term-Issuer	Term-Exchange	Term-Individual	Term-Employer	Term-Employee	Change-Employee	Change-Individual	Change-Case Worker	Change-Employer	Upload Docs	Payment-Data	Payment-Discrepancy	Payment-Partial	Decertify Plan-Issuer	Appeal-Access	Appeal-Rules	Appeal-Initiate	IRS Report	Re-Verification	General Ledger	Pre-Screening	Link to Plan Details	Make Electronic Payments	Employee & Income of Tax Relief	Make Recurring Payments	SmallBus or Assister Make Payment	User is Notified (Initial Enroll)	Pkg 1	Pkg 2	Pkg 3	
NO-109	Approval of the enrollment change request must generate an electronic notification to Exchange issuers indicating the plan enrollment status						Y	Y																							Yes	Yes
NO-110	Approval of the enrollment change request must generate an electronic notification to registered Navigators/Brokers indicating the plan enrollment status							Yes																							Yes	
NO-25	Send notification for change in individual's Eligibility Status							Yes																							Yes	
NO-30	Prepare and provide communication to individuals about a mid-year plan decertification and notify need for plan selection / enrollment.														Yes																	Yes
NO-43	Upon submittal of Initial Employer Application, provide email and written notification to employees (as identified on the employee roster) to elect for or opt-out of employer sponsored coverage. Notification should also provide instructions and information to the employee about the open enrollment period and SHOP website access.																										Yes					Yes
NO-46	If an employer has an involuntary termination through the Exchange, produce an electronic notification to the Issuer to terminate the employer. Also produce an electronic notification to the employer's employees to inform them of the employer termination.	Yes																														Yes
NO-51	Generate a formal written notice informing an employer of the details of an appeal decision.																	Yes														Yes
NO-53	Generate a notification to an employer regarding the employer's adjusted eligibility determination based on the employer's Exchange eligibility appeal decision.																	Yes														Yes
NO-57	If an employee initiates a voluntary disenrollment through the Exchange, produce an electronic notification to the employee's employer to inform them of the employee disenrollment.				Yes																											Yes
NO-58	If an employee initiates a voluntary disenrollment through the Exchange, produce an electronic notification to the Issuer to disenroll the employee.				Yes																											Yes
NO-60	If an employee has an involuntary disenrollment through the Exchange, produce an electronic notification to the employee to inform the employee of the employee disenrollment.	Yes																														Yes
NO-68	Prepare and send communication to the employer regarding changes to the employer's employee roster.								Yes																							Yes
NO-69	Prepare and send communication to the employee regarding changes to the Employee contact information.																															Yes
NO-70	Report employee contact information changes to the Issuer.					Yes	Yes																									Yes
NO-71	Prepare and send communication to the employee regarding changes to the employee's account due to a Qualifying Event.					Yes																										Yes

Req#	Updated Description	Term-Issuer	Term-Exchange	Term-Individual	Term-Employer	Term-Employee	Change-Employee	Change-Individual	Change-Case Worker	Change-Employer	Upload Docs	Payment-Data	Payment-Discrepancy	Payment-Partial	Identify Plan-Issuer	Appeals-Access	Appeals-Rules	Appeals-Initiate	IRS Report	Re-Verification	General Ledger	Pre-Screening	Links to Plan Details	Make Electronic Payments	Employee is Informed of Tax Rec'd	Make Recurring Payments	Small Bus or Assistor Make Payment	User is Notified (Initial Enroll)	Pkg 1	Pkg 2	Pkg 3
PM-005	Provide the ability open a special enrollment period to enable enrolling a plan outside the defined enrollment period.						Yes	Yes																							
PM-145	Allow Marketing materials to be linked to appropriate plan/issuer records in the system.																					Yes									Yes
PPRFP-009	Receive notification from Customer Service of any individual or family unit premium invoice discrepancy.											Yes																			Yes
PPRFP-010	Investigate the premium invoice discrepancy raised by the family unit and post resolution of the same.											Yes																			Yes
PPRFP-022	Provide data daily to the Exchange to support the Exchange providing regular updates including "paid through date" reporting (834 "benefit coverage period") to the Issuers and the State's Medicaid Business Office.																									Yes					Yes
PPRFP-023	Receive termination notification from the Issuer and the State's Medicaid Business Office.	Yes																											Yes	Yes	
PPRFP-024	Update the family unit's account as a result of the termination notice.	Yes	Yes	Yes																									Yes		
PPRFP-025	In the case the family unit has terminated coverage and has a balance outstanding; send the family unit any refunds due.						Yes																						Yes		
PPRFP-027	Provide data to the Exchange to support the Exchange developing and sending premium payment reports to the State's G/L system (Vision).																				Yes										Yes
PPRFP-031	Implement hierarchical rules for allocation of (partial) payments to premiums.											Yes																			Yes
PPRFP-032	Establish an interface with the Exchange in order to receive enrollment and premium data (e.g., total amount due, Small Business employer share, Small Business employee share) from the Exchange for each Small Business that enrolls in coverage.																									Yes					Yes
PPRFP-033	Provide an electronic method for use by each small business, navigator/broker/in-person assistor or customer service agent to set up a premium payment account.																									Yes					Yes
PPRFP-035	Support the ability for small businesses to pay by paper payment methods (e.g. check or money order).																									Yes					Yes
PPRFP-036	Generate an invoice on paper or provide electronically to the Exchange (viewable through the Exchange) for each Small Business based on inputs provided by the Exchange (e.g., amounts due for each member of the Small Business, QHP enrollment information, employee share of premium, employer share of premium, total premium), as well as invoice adjustments.																									Yes					Yes
PPRFP-037	Reconcile the Small Business payments received against the invoiced amount.																									Yes					Yes
PPRFP-038	Remit the reconciled Small Business premium payment to the appropriate Issuers.																									Yes					Yes
PPRFP-039	If any discrepancies are found during the Small Business reconciliation, credit overpayments towards future billing, update account balance, or trigger notification of underpayment.											Yes																			Yes

Req #	Updated Description	Term-Issuer	Term-Exchange	Term-Individual	Term-Employee	Change-Employee	Change-Individual	Change-Case Worker	Change-Employer	Upload Docs	Payment-Data	Payment-Discrepancy	Payment-Partial	Identify Plan-Issuer	Appeals-Access	Appeals-Initiate	MS Report	Re-Verification	General Ledger	Pre-Screening	Links to Plan Details	Make Electronic Payments	Employee is Informed of Tax Relief	Make Recurring Payments	Small Bus or Assister Make Payment	User is Notified (Initial Enroll)	Pkg 1	Pkg 2	Pkg 3	
PPRFP-040	Allow for premium adjustments resulting from changes to Small Business employee enrollments or Small Business discrepancy resolution after the invoice has been issued, and establish a process to accommodate these changes in the next billing cycle.											Yes																		Yes
PPRFP-043	Send the Small Business employer and the Small Business employees an underpayment notification upon the trigger that an invoice has not been fully paid.																							Yes						Yes
PPRFP-048	Receive notification from Customer Service of any Small Business premium invoice discrepancy.											Yes																		Yes
PPRFP-050	Resolve the invoice discrepancy, and notify the Exchange call center of the resolution.											Yes																		Yes
PPRFP-054	Receive Small Business termination notification from the Exchange.	Yes	Yes	Yes																										Yes
PPRFP-055	Update the Small Business account accordingly once termination notification is received.	Yes																												Yes
PPRFP-056	In the case the Small Business has terminated coverage and has a credit outstanding; refund the group any overpayments due.	Yes	Yes	Yes																										Yes
PPRFP-059	Integrate with the Exchange system so that the Exchange system can allow Small Businesses to view their payment history and manage their account through the Exchange system.																							Yes						Yes
PPRFP-063	Aggregate group Exchange premium remittances.																							Yes						Yes
PPRFP-064	Establish a process to remit premiums to issuers on behalf of a family unit and Small Businesses with members enrolled in QHPs.																							Yes						Yes
PPRFP-068	Generate premium remittance reports and send to the Exchange so that the Exchange can format and send to the Issuers.																							Yes						Yes
RP-12	The Exchange will provide detail reports to support and reconcile the Annual Financial Report.										Yes																			Yes
SH-015	Once a plan, plans or a tier is selected, direct an employer to instructions on payment remittance for monthly premiums and coordinating the benefit election process with employees.																							Yes						Yes
SH-047	Update user / employer account status based on updated results for employer size, business address, coverage and number of full time employees																													Yes
SH-057	Provide capability to allow employer participation upon initial application, but to terminate participation if original eligibility information is in question and is not substantiated within thirty days.				Yes																									Yes
SH-064	After plan selection by the employees and the employer has submitted payment, initiate the plan enrollment process / transaction to applicable carriers.																							Yes						Yes
SH-066	Once plan costs are finalized along with the Employee Census, provide onscreen and written notification to the employer, with summary and detailed cost information.																							Yes						Yes
SH-075	Upon acceptance of final offer from carrier to employer and collection of 1st month's premium payment, generate enrollment transaction to a carrier.																							Yes						Yes

Req#	Updated Description	Term-Issuer	Term-Exchange	Term-Individual	Term-Employer	Term-Employee	Change-Employee	Change-Individual	Change-Case Worker	Change-Employer	Upload Docs	Payment-Data	Payment-Discrepancy	Payment-Partial	Decertify Plan-Issuer	Appeals-Access	Appeals-Rules	Appeals-Initiate	IRS Report	Re-Verification	General Ledger	Pre-Screening	Links to Plan Details	Make Electronic Payments	Employee & Informed of Tax Refers	Make Recurring Payments	Small Bus or Assistor Make Payment	User & Notifier (initial group)	Pkg 1	Pkg 2	Pkg 3
SH-076	Provide capability to provide termination notices in multiple forms, including in email and paper form.	Yes	Yes		Yes	Yes																									Yes
SH-078	Provide capability to provide notifications (i.e. termination notice, billing notices) as imaged documents during the employer's activities and for the employer to be able to view at a later date.	Yes	Yes		Yes	Yes																									Yes
SH-079	Provide capability to administer COBRA/VIPER, supporting these enrollments and disenrollments.	Yes	Yes		Yes	Yes																									Yes
SH-080	Provide the capability for an employer to request a voluntary termination from QHP(s) at any time.																														Yes
SH-081	If an employer initiates a voluntary termination through the Exchange, produce an electronic notification to the employer's employees to inform them of the employer termination. The notice should contain information relating an appeals process and other protections as defined by the Exchange.				Yes																										Yes
SH-082	If an employer initiates a voluntary termination, produce an electronic notification to the Issuer to terminate the employer.				Yes																										Yes
SH-083	If conditions for a voluntary termination, initiate the employer termination process.				Yes																										Yes
SH-084	Provide the capability to image and store documents sent to the employer regarding the employer's termination.	Yes	Yes		Yes																										Yes
SH-085	Update user accounts based on termination notification from issuers or terminations initiated by the Exchange.	Yes	Yes																												Yes
SH-086	Prepare a notice to CMS with a minimum dataset of information regarding an employer's voluntary termination from a qualified health plan through the Exchange. This information may be used for small business tax credits, as well as for individual mandates, etc., as applicable.					Yes																									Yes
SH-087	Provide capability to receive electronic notifications from issuers regarding involuntary terminations and initiate termination process.	Yes																													Yes
SH-088	If an employer has an involuntary termination through the Exchange, produce an electronic notification to the employer to inform the employer of the employer termination.		Yes																												Yes
SH-090	If conditions for an involuntary termination are present, initiate the termination process.	Yes	Yes																												Yes
SH-091	If an employer has an involuntary termination through the Exchange, prepare communication to the Issuer to terminate the employer.		Yes																												Yes
SH-092	Update user accounts based on termination notification from issuers or terminations initiated by the Exchange.	Yes	Yes																												Yes
SH-094	Notify QHPs when an employer terminates coverage and ensure coverage is discontinued				Yes																										Yes
SH-095	Notify employees when an employer terminates coverage and ensure coverage is discontinued. Employees must be given a 30 day notice of termination.	Yes	Yes																												Yes

Req#	Updated Description	Term-Issuer	Term-Exchange	Term-Individual	Term-Employer	Term-Employee	Change-Employee	Change-Individual	Change-Case Worker	Change-Employer	Upload Docs	Payment Data	Payment-Discrepancy	Payment-Partial	Identify-Plan-Issuer	Appeals-Access	Appeals-Rules	Appeals-Initiate	IRS-Report	Re-Verification	General Ledger	Pre-Screening	Links to Plan Details	Make Electronic Payments	Employee is Informed of Tax Impact	Make Recurring Payments	Small Bus or Assistant Make Payment	User is Notified (Initial Enroll)	Plg 1	Plg 2	Plg 3	
SH-117	Provide the capability to refer or route appeal requests to entities outside of the Exchange such as an Independent Review Organization or Issuers. (Initiate & view from Small Business)														Yes																Yes	
SH-128	Provide capability to prepare and send information-only communication to the employer regarding potential changes to their Tax Credit Eligibility due to a change in the employee roster. Provide a link to IRS website for additional information regarding the Small Business Tax Credit.								Yes																						Yes	
SH-131	Report employer contact information changes to the Issuer.								Yes																						Yes	
SH-132	Prepare and send communication to the employer regarding changes to the Employer contact information.								Yes																						Yes	
SH-140	Prepare and send communication to the employer regarding changes to the Employer's worksite locations.								Yes																						Yes	
SH-183	Provide information and provide capability to allow employees determine if their premium costs are such that the costs make the employee eligible for purchasing insurance through the individual market or allow the employee to be exempt from the individual mandate, due to federal law. If either is scenario is likely, invite employee to explore these options further at the Individual Exchange.																					Yes									Yes	
SH-187	After plan selection, initiate the financial transactions required by employers to ensure plan enrollment process / transaction to applicable carriers.																								Yes						Yes	
SH-190	Provide a reminder that an employee receives tax relief when the employee purchases health insurance via their employer at through a pre-tax payroll deduction.																							Yes							Yes	
SH-194	Prepare a communication to Issuer regarding employee enrollment in QHP																									Yes					Yes	
SH-195	Receive and process acknowledgement of employee enrollment from Issuer																									Yes					Yes	
SH-196	Provide notification of successful enrollment to employee																										Yes				Yes	
SH-197	Provide notification to CMS regarding employee enrollment	Yes	Yes		Yes	Yes	Yes																								Yes	
SH-198	Allow employees to enroll in QHP during a qualifying event.																														Yes	
SH-201	If an employee initiates a voluntary disenrollment through the Exchange, produce an electronic notification to the Issuer to disenroll the employee.					Yes																									Yes	
SH-202	Provide capability to initiate the disenrollment process.						Yes																								Yes	
SH-203	Provide capability to update user accounts based on disenrollment notification from issuers	Yes																														Yes
SH-204	Update user accounts based on disenrollment notification from disenrollment initiated by the Exchange.						Yes																								Yes	
SH-206	Provide capability to receive electronic notifications from Issuers regarding disenrollment and initiate disenrollment process.	Yes																													Yes	
SH-207	If an employee has a disenrollment through the Exchange, produce an electronic notification to the employee's employer to inform them of the employee termination and alternative insurance options.					Yes																									Yes	

Req#	Updated Description	Term-Issuer	Term-Exchange	Term-Individual	Term-Employer	Term-Employee	Change-Employee	Change-Individual	Change-Case Worker	Change-Employer	Upload Docs	Payment-Data	Payment-Discrepancy	Payment-Partial	Decertify Plan-Issuer	Appeals-Access	Appeals-Rules	Appeals-Initiate	IRS Report	Re-Verification	General Ledger	Pre-Screening	Links to Plan Details	Make Electronic Payments	Employee & Informed of Tax Refers	Make Recurring Payments	Small Bus or Assistor Make Payment	User & Notifier (Initial Group)	Pkg 1	Pkg 2	Pkg 3
SH-209	If conditions for an involuntary disenrollment are met, initiate the disenrollment process.	Yes																													Yes
SH-210	If an employee has an involuntary disenrollment through the Exchange, prepare communication to the Issuer to terminate the employee.	Yes		Yes																											Yes
SH-211	Update user accounts based on disenrollment notification from issuers or disenrollment initiated by the Exchange.	Yes	Yes																												Yes
SH-224	If reported changes do not qualify an employee for a special enrollment, store the eligibility / household changes for use during the next available open enrollment period.					Yes																									Yes
SH-227	Provide capability for employees to submit changes to Small Business plan participation (selected plan(s), selected tier (optional), covered dependents, etc.). Supported methods of enrollment changes include written forms and web-based responses through the Exchange. (Written forms through the call center.)					Yes																									Yes
SH-230	Provide the functionality to determine if an update to an employee account is categorized as a Qualifying Event.					Yes																									Yes
SH-231	Provide capability for employees to submit changes to employee plan (add / remove dependents) in between redeterminations / renewals and due to qualifying events.					Yes																									Yes
SH-232	Prepare and send monthly report to employer with the insurance bill, indicating changes to their employee enrollment list. Some of these changes will result from the employee's reporting of Qualifying Events.																								Yes						Yes
SH-234	Initiate enrollment or disenrollment process for employee or the employee's dependents, depending on the nature of the Qualifying Event.					Yes																									Yes
SH-235	Provide the capability for employees to submit changes to the employee contact information.					Yes																									Yes
SH-236	Report employee contact information changes to the Issuer.					Yes																									Yes
SH-239	Reconcile enrollment information and employer participation information with QHPs at least monthly.	Yes	Yes	Yes	Yes	Yes																									Yes
WP-035	Provide calculator functionality for individuals to estimate their premiums including potential premium tax credit subsidies and cost sharing reductions																					Yes									Yes
WP-035	Allow users to set up payment options for their selected plan(s)																						Yes				Yes				
WP-036	Allow users to make recurring and scheduled electronic premium payments through the Exchange portal																							Yes							Yes
WP-40	Enable Employees to enroll or unenroll in SHOP plan				Yes																										Yes
WP-41	Allow employers to set up payment options for premiums																								Yes						Yes
WP-47	Make electric payment for Individual, Employer, and Issuer																						Yes					Yes			Yes
WP-53	Allow SHOP employees to access a custom portal where they can view and select among their plans options, enroll their family and manage changes in circumstances.					Yes																					Yes				Yes

Req#	Updated Description	Term-Issuer	Term-Exchange	Term-Individual	Term-Employer	Term-Employee	Change-Employee	Change-Individual	Change-Case Worker	Change-Employer	Upload Docs	Payment-Data	Payment-Discrepancy	Payment-Partial	Identify Plan-Issuer	Appeals-Access	Appeals-Bulk	Appeals-Initiate	IRS Report	Re-Verification	General Ledger	Pre-Screening	Links to Plan Details	Make Electronic Payments	Employee is Informed of Tax Relief	Make Recurring Payments	Small Bus or Assister Make Payment	User is Notified (Initial Enroll)	Pkg 1	Pkg 2	Pkg 3	
New-008	The Exchange system shall provide an aggregated report in a GAAP compliant format for each Individual and Family Unit: - State Premium Assistance and State CSR calculated for an Individual for a reporting period (month) - State premium Assistance and State CSR paid to the Issuer for an Individual for a reporting period (month)																															
New-031	Reconcile the amount advanced to the Issuer for the State CSR against the amount that the Premium Processor invoiced.										Yes																				Yes	
											Yes																					Yes

ATTACHMENT 3
Discount Rates for Late Performance of Key Deliverables

In the event that CGI fails to complete a Key Deliverable by the applicable Key Deliverable date set out in Attachment 2, SOV will be entitled to an immediate Discount off of the total fees payable for such Key Deliverable in the amount of 12.5% of the full value of the Key Deliverable (including the holdback amount), up to a maximum Discount of \$2,000,000.00.

Once a Discount has been assessed against a Key Deliverable, CGI shall have the right to earn back the Discount as follows:

- If CGI completes the Key Deliverable within 7 days of Key Deliverable date, CGI will earn back 50% of the Discount;
- If CGI completes the Key Deliverable within 14 days of Key Deliverable date, CGI will earn back 25% of the Discount; and
- If CGI completes the Key Deliverable within 28 days of Key Deliverable date, CGI will earn back 10% of the Discount.

In addition, if CGI meets the Key Deliverable date for Key Deliverable 4, and if CGI has previously completed all other Key Deliverables set out in Attachment 2, CGI will earn back 50% of any Discounts that have accrued as of that date.

ATTACHMENT 4
Hosting and Disaster Recovery
Acceptance Criteria and NFR Acceptance Criteria

Tables 1 and 2 below provide the deliverables and acceptance criteria associated with remaining Hosting and Disaster Recovery requirements as well as the RTM NFRs (Non-Functional Requirements) as defined in SOW No. 4. SOV and CGI agree to the Change Control Procedures to escalate matters where scope and/or acceptance criteria are in debate and the relevant project teams are unable to resolve.

Table 1: Hosting and DR

- | | | | |
|---|---------|---|--|
| 1 | 4/15/14 | Hosting -

Operational
ITIL-based
Framework | <ul style="list-style-type: none"> • Delivery of the following documented IT Best Practices (set forth below) processes validated by SOV, as referenced in Deliverable D-14 'Requirements Traceability Matrix', and defined in D-31 'Operations and Maintenance Manual', D-20 'Data Management Plan', D-19 'Database Design Document' and completion of D-18, 'System Detailed Design Document (SDD)' |
|---|---------|---|--|

IT Best Practices Category	Validation
Incident Management	SOV validates existence of Incident Management documentation
Problem Management	SOV validates existence of Problem Management documentation (Deliverables) that satisfy the relevant NFRs, utilization of a problem management and root cause analysis process and delivery of reports. SOV NFRs relating to Problem Management are met.
Change Management	SOV validates existence of Change Management documentation (Deliverables) that satisfy relevant NFRs, Utilization of a change process and delivered reports. SOV NFRs relating to Change Management are met.
Release Management	SOV validates existence of Release Management documentation (Deliverables) that satisfy relevant NFRs, execution of a release management process and delivered reports consistent with this deliverable; SOV NFRs relation to Release Management are met.
Configuration Management	SOV validates existence of Configuration Management documentation (Deliverables) that satisfy relevant NFRs, Execution of configuration management processes and delivered reports consistent with this deliverable; SOV NFRs relating to Configuration Management are met.

- | | | | |
|---|---------|---|--|
| 2 | 5/30/14 | Production and
Disaster
Recovery
Environments
Complete
Disaster
Recovery
Migration
Process Tested | <ul style="list-style-type: none"> • Complete the configuration of the Production and Disaster Recovery environments according to the agreed to specification as documented in the VHC Architectural Design, SDD, SSP and ICD's. • Migration (DR Failover simulation) Plan and Testing complete (i.e. move Live (Stage) to Production) |
| 3 | 4/30/14 | Migrate current
Live (Stage)
Environment to
Production | <ul style="list-style-type: none"> • The migration of current Live (Stage) to Production Environment to meet RPO and RTO requirements as defined in CGI's contract with SOV. • All Migration documentation delivered and signed off by SOV • PASS #1 trial run, functional and nonfunctional testing • PASS #2 trial run, functional and nonfunctional testing |

- Final Cutover process and implementation
 - Mutually agreed to Production and DR readiness with SOV review and approval after execution
 - SOV business release schedules may impact completion, CGI not to be penalized on this item due to business priorities
- 4 5/20/14 Stage Environment Complete
- Complete the configuration of current LIVE (Stage) to mirror Production.
 - Stage build completion verified by SOV

Architectural, solution and configuration review and audit rights are detailed in the Master Services Agreement (MSA) Section 17.1 details SOV’s audit rights, 17.3 audit follow-up (and remediation for deficiencies), and 17.5 speaks to any follow up or remediation activities that may come out of a given audit. As such, the Architectural Review Remediation Plan Delivery would be managed through the Change Request process.

Table 2: Non-Functional Requirements and Security

1 5/8/14 NFR Execution Documented completion of all outstanding NFR items within the framework defined below.

Category	# of NFR RTM Requirements to be Fulfilled
<u>Documentation</u> (NFRs that reference a document for evidence/validation (i.e. D-31, Oracle documents, or the SAR))	2,940
<u>Functional Test Scripts</u> (Functional test cases that are linked to both an NFR and a functional requirement)	153
<u>Non-Functional Demo</u> (Demonstrations that prove items such as performance, disaster recovery and reliability)	62
<u>Validation</u> (Items such as the ATO and the PCI DSS certification)	560
Total	3,715

Acceptance of NFRs will be based on a joint prioritization between SOV and CGI, with each requirement (or requirement grouping) ranked in priority from 1 thru 4. (Priority may be at the ‘tab’, grouping or requirement level.) Priorities 1 & 2 will be completed by the end of the DDI period in order to release the appropriate payment, with priorities 3 & 4 to be completed over the initial term of the M&O contract.

- 2 1/31/14 Current Site Security Assessment A full site wide vulnerability assessment and penetration test leveraging multiple recognized industry standard tools and manual testing methods performed by a professional, certified, independent 3rd party.
- 3 2/20/14 Remediation of Security Assessment Vulnerabilities Remediation of all vulnerable items defined in item 2 and validation the remediation is completed successfully by a follow up scan.

4	2/28/14	Full Production Environment Vulnerability and Penetration Test	A cross site (all production public facing environments) environment wide vulnerability assessment and penetration test leveraging multiple recognized industry standard tools and manual testing methods performed by a professional, certified, independent 3rd party performed after all environments (including DR) are live and a mutually agreed (CGI and SOV) to state of stability is reached.
5	4/20/14	Remediation of Vulnerability and Penetration Test Vulnerabilities	Remediation of all vulnerable items defined in item 4. Including validation the remediation is completed successfully by a follow up scan.
6	3/31/14	Completion of all PoAM items	Execution mitigation and corrective action of all PoAM items. The SOV requests a review session of all PoAM items that entails what was mitigated and what actions were taken to mitigate with documented proof. All PoAM items will be remediated based on defined timeframes
7		Final Delivery of Contract Deliverables per Table 2-1 below	

Table 2-1

Document	Delivery Date
D-22 "Training Materials"	5/5/14
D-23 "User Manuals"	5/5/14
D-26 "Implementation Plan"	5/5/14
D-29 "Test Reports"	5/5/14
D-30 "Go-Live Document"	5/5/14
D-31 "M&O Manual"	5/5/14
D-18 "System Design Document"	5/5/14
D-19 "Database Design Document"	5/5/14
D-25 "Information Security Risk Assessment"	5/5/14
D-27 "Contingency/Recovery Plan"	5/5/14