

Federally Facilitated Marketplace
Q&A's
Amendment #3

SOW

1) General - Are you open for implementing a solution based on any other products or do we need to enhance existing products suite?

With this contract, CMS' objective is to continue enhancing the operations and performance of the FFM. As such, the offeror shall provide recommended approach for enhancing of existing product suite and/or adding other components as appropriate to meet this objective.

2) General - What is the size of work product to be completed in Base Year/OY 1/OY 2/OY 3/OY 4? While CMS cannot anticipate the exact size of the work product during the option years, there will be a mix of maintenance of existing functionality and new development required of the FFM. We anticipate that the proportion of maintenance activities will increase throughout the option years as the requirements backlog is worked down.

- The following functionality will be in production when the base year of the contract starts. The contractor will be required to support the ongoing maintenance of the following capabilities:
 - Eligibility and business operations functionality that allows consumers to manage their enrollments operations (e.g., Changes in Circumstances) and allows CMS to manage internal eligibility operations (e.g., inconsistency processing)
 - Plan Management and Eligibility & Enrollment functionality that facilitates open enrollment in the individual and small business market
 - SHOP functionality to support ongoing enrollment for the group market
 - Payment processing functionality that makes APTC/CSR payments to Issuers
 - Financial Management functionality that makes Reinsurance and Risk Adjustment payments to Issuers
- Within each of these areas, the contractor will need to implement new requirements, defect fixes, and change requests that are in the current backlog.

3) General - What is the anticipation of volumes/ scope from a Direct Member Enrollment perspective – either participating states or future participants that have decided not to build State based HBEs will need to find an enrollment into FFM?

For Plan Year 2014, FFM enrolled around 6 Million consumers into QHP. For 2015 Plan Year, CMS anticipates total enrollment thru FFM will increase to 8 – 9 Million consumers.

4) General - What is the anticipation of volumes/ scope from a Direct Member Enrollment perspective – either participating QHPs or future QHP participants that will process enrollment through FFM?

For Plan Year 2014, FFM enrolled around 6 million consumers into QHP. For 2015 Plan Year, CMS anticipates total enrollment thru FFM will increase to 8 – 9 million consumers.

5) Section C.5 - Will CMS be publishing detailed requirements for all the functionality segments? CMS cannot answer; we do not understand "functionality segments".

6) Section C.5, pg. 4 - Does the FFM rules engine enable the configuration or customization of the state specific plans, as required? How are the QHP Data Validation and certification processes customized for each state respectively?

All Issuer/plan data that gets validated and certified through Federal Marketplace via common QHP data submission and validation process. As part of this process, Issuers compile and submit standard set of plan data templates to FFM directly or through SERFF. In addition, as part of the certification process, states do review the submitted data for state-level compliance utilizing the FFM.

7) Section C.5, pg. 5 - Please elaborate on EDI technology and tools being used currently. What are the other EDI transactions expected besides the 834 transaction (as mentioned in the RFP)?

The EDI technology and tools used conforms to the Accredited Standards Committee (ASC) X12 834 enrollment transactions named under the Health Insurance Portability and Accountability Act (HIPAA) defined formats. Operations or support of this EDI technology is not in scope of this Statement of Work (SOW). The Offeror will need to present the data payloads that interact with the EDI platform for outbound enrollment traffic to the external trading partners in the XML formats defined for the business functions in C.5 E&E Business Operations sections for the daily enrollment transactions and receive XML data payloads from the EDI platform for the inbound enrollment traffic which is converted to XML from the ASC X12 834 HIPAA formats. Additionally, the support of the ASC X12 Acknowledgement Reference model allows for the transmission of the Business Level edits for accepted and rejected Enrollment Group information. Initially the formatting is accomplished with a CMS defined XML structure and the payload is populated by the Business Level Edit activities considered in-scope for this SOW. Finally, the Offeror shall be required to support the Monthly Enrollment Reconciliation extract process which aligns to the Monthly E&E Business requirements. Under the Financial Management requirements, the Offeror would be responsible for the creation of XML structures that feed to the outbound ASC X12 820 using the ASC X12N 005010X306 Technical Report Type 3 – Health Insurance Exchange Related Payments (820) as published with any associated Addenda either Type 1 or Type 2 in nature.

8) Section C.5, pg. 5 - We assume that each state participating will have their own case management solutions. What are the various case management software/ tools being used by the states? How are the Case Management systems interacting with FFM's eligibility engine?

The FFM does not interface with state-based case management systems but FFM does interact through the account transfer processes with the MEDICAID and CHIP agencies.

9) Section C.6.1.9, pg. 20 - How is the ratio of support teams to state(s) determined? Is it by state or population or both? If both, what is the factoring used to determine support team size?

The ratio is generally determined by the level of complexity of the State and can also depend on the Marketplace model, State size, number of issuers and/or the population.

10) Section C.6.1.9, pg. 20 - A single support team will support how many states?

Again, it depends on the level of complexity per State; for some States it may make sense to have three or four support personnel --- one individual could be used to support testing, one for onboarding issuers, one for ATC support, etc. The Marketplace model will help to determine the support needed per State.

11) Section C.6.1.9, pg. 20 - Is any business process consulting to be provided to states as part of the transition planning activities?

Data migration will be one key area for business process consulting. States are not aware of the data migration strategy, the process, the timelines, etc. The Offeror will provide support for transition only within the scope of the FFM.

12) Section C.6.1.11, pg. 22 - Can you please share O&M ticket volumes since Oct 2013 and trends?
See attached (a) *XOSC Monthly Trends* and (b) *XOSC Scrum Report*

13) Section C.6.1.11, pg. 22 / FFM RFP pg. 9

- Document FFM_RFP section F.3 in Page 9 mentions that the place of performance of this contract is Contractor's Site.

- FFM_SOW section C.6.1.11 (Page 22) – expectation is that Contractor's O&M staff report to Marketplace Operations Center (XOC).

In reference to the above 2 points, where is the project location? Is it in Contractor's site or CMS site?

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O&M staff supporting production operations report to the XOC; XOC also houses additional staff as needed (e.g., Open Enrollment)

14) Section C.16, pg.34 - Refer this line in SOW ("Attached is a list of the licenses for which CMS has paid. CMS considers this Government furnished property")

Above mentioned list is missing in the RFP can you please provide the Software List?

See attached *HW/SW List*

15) Section C.4 pg. 4 Government Furnished Equipment – **Question:** Will CMS provide space within its hosting environment for development regions or should the contractor perform all development in its own facilities and only use the CMS hosting environment for testing?

CMS provides hosting for development, testing, implementation, and production environments. All development work should be done in the CMS provided development regions.

16) Paragraph 2, pg. 5 - Consumer may also initiate an appeal request of eligibility and/or APTC/CSR determination and ask for a re-determination, which is processed through an integrated Appeals Case Management system – **Question:** Are enhancements and support of the Appeals Case Management system in scope of this SOW?

No.

17) Paragraph 2, pg. 6 - Open Enrollment for Individual and SHOP Marketplace (November – December); Online Individual Application with Plan Compare, Plan Select, and Enrollment; SHOP Employer and Employee applications; Direct Enrollment for issuers. – **Question:** It is our understanding that the SHOP Marketplace is being implemented by another contractor, is the business operation for the SHOP Marketplace in scope of this SOW?

SHOP Marketplace is part of the scope of this SOW. SHOP call center and SHOP Premium Aggregation Service (PAS) are implemented and supported under a different contract. Offeror shall include business operations and systems support (including application development & maintenance) as part of this RFP submission. SOW has been revised to provide additional clarity on SHOP support requirements.

18) Section C.3 pg. 2 - The Contractor activities and deliverables under this contract shall comply with the CMS Expedited Life Cycle (XLC) Framework. **Comment/Question:** There are times

the XLC is not in alignment with CMS' use of Agile development. What is the process for resolving these conflicts and where does the authority lie for the required decision-making?

CMS IT Governance and the Technical Review Board (TRB) are in the process of developing a "CMS XLC Guidelines for Agile IT Projects" document. The TRB is the governance body that oversees compliance with the XLC. Additionally, the contractor may schedule TRB Consults to address specific questions.

19) Section C.4 pg. 4 The government will also furnish or provide access to the following upon contract award:

1. 2. 3.

Dynamic Object Oriented Requirements System (DOORS) software Remedy software

IBM WebSphere Operational Decision Management (WODM) Business Rules Management System

(BRMS) **Comment/Question:** CMS also uses CALT to manage and store requirements and tracking issues and communications with the Issuer community. Will CMS provide the contractor access to CALT also? If yes that should be added to the SOW.

Yes, CMS will provide the contractor with access to CALT upon contract award.

20) Section C.5 pg. 4-7 The Contractor shall perform work, including specified tasks, in support of Marketplace business operations for key FFM functional business areas as described below:

Questions: For all of the existing systems described by this section, are there architecture and design documents that exist for those application systems? Can they be made available well before the response date?

See attached *FFMTechnicalOverview.ppt* to summarize the functional and technical architecture of the FFM system. CMS will provide additional information up contract award.

21) Section C.5 pg. 5 Final QHP Data Validation, certification (including suppression & decertification), and on-going maintenance of Plan Data. Support maintenance and operations for plan data spanning multiple years (current plan year plus one additional plan year) **Questions:** Is there an expectation to store past final QHP data and rates? If yes, this requirement should be edited to add past years and any estimate of the number of years expected to be stored.

CMS is going to retain the data beyond current plus one for historical planning purposes.

22) Section C.5 pg. 5 "Plan Preview" functionality and process by which issuers privately preview their respective submitted QHP data to be displayed, CMS user preview any/all submitted QHP data to be displayed, and issuers submit approved corrections, edits, and resubmissions in advance of final display of data on Plan Compare. **Question:** This section does not mention anything about the Rates and Benefits Information System (RBIS). Please confirm the RBIS is not included in the scope of this SOW. If it is I would suggest adding a separate bullet under PM Business Operations to address.

RBIS is not part of the scope.

23) Section C.5 pg. 7 HIGLAS integration and X12 (EDI) transactions for payment and invoice; **Question:** Please confirm the X12 transactions mentioned here are based on EDI/WEDI standards or OFM version.

This interface point is based upon internally defined Office of Financial Management (OFM) file definitions. The offer(s) shall be required to present or accept the data payload(s) used to comply with appropriate transactional processing.

24) Section C.5 pg. 7 The Contractor shall support new development and enhancements for the FFM system. This support shall include requirements outlined elsewhere in the SOW as well as re-

engineering of virtual machines to physical machines where appropriate (i.e. converting databases from current virtual machines to physical hardware) **Question:** What is the purpose of re-engineering of virtual machines to physical machines where appropriate (i.e. converting databases from current virtual machines to physical hardware)?

During the first year of the FFM, hosting of databases on virtual machines was identified as a potential contributing factor to overall system performance bottlenecks, and possible support issues from the database manufacturers not certifying their product on a virtual platform. CMS made the decision to migrate databases to physical machines to eliminate one possible point of performance contention.

25) Section C.5 pg. 7-9 Scope:

After the Contractor has verified with CMS the priority and validity of the requirements prior to producing a work plan, the Contractor shall provide new development and enhancements to include but not limited to the following functionality: **Question:** For all of the new functional capabilities identified on pages 7-9 are they requirements documented, and if so are they verified and signed off, or in process?

Accounting for changes to scope and priority, CMS has requirements documentation for the functionality that is in scope for development during the 2014 calendar year leading up to 2015 Open Enrollment and the first Issuer payments. Business owners and IT oversight review each requirements document and provide a signoff.

26) Section C.5 pg. 7-9 Enhancements to existing services CMS lists several proposed enhancements to existing services that the contractor must work to implement. **Question:** Are the requirements for each of the proposed changes defined and can CMS please provide copies of the change requests?

No, CMS does not have change requests that it can provide. CMS is currently developing its 2016 strategy and beyond. This planning exercise will guide the specific system requirements that CMS will provide to the contractor for the base and option years.

27) Section C.5 pg. 9 The Contractor shall complete an analysis of the FFM system and operations, propose a plan for improvements, and implement fixes, within the timeframe set by CMS

Question: Is this done during the transition phase, start-up phase, or when the new contractor has assumed full responsibility for O&M of the system/environment?

Transition.

28) Section C.5 pg. 9 The Contractor shall support continuous improvements as needed for on-going and any new system integration with Marketplace sub-systems including but not limited to the Data Services Hub (Hub), Enterprise Identity Management (EIDM), Multi-dimensional Insurance Data Analysis System (MIDAS), Marketplace Call Center (CC), Financial Management systems, Eligibility Support Worker (ESW), and Appeals Case Management. **Question:** If the Prime or Subcontractor is currently supporting one of these integrated systems, as a Prime or Subcontractor, would they be conflicted out of supporting this contract as a Prime or Subcontractor.

There would be a conflict of interest for a prime or subcontractor if vendor would be exposed to FFM data that provides a competitive advantage.

29) Section C.5 pg. 10 Scope:

Ensure Marketplace application meets all HHS, CMS, and other Federal requirements for security as to maintain the Authority to Operate (ATO).

Question: Are the current Marketplace and any of the supporting systems and environments for which the Contractor will be responsible for operations and maintenance in 'Scope' operating with a limitation, or a waiver regarding a deficiency that must be addressed by a certain date concerning the ATO? If so please supply an explanation regarding the deficiency.

No, there are no waivers or limitations for the Federally Facilitated Marketplace (FFM). The system has received a full Authorization to Operate (ATO). Quarterly independent third party assessments are done to assure that every aspect of system security is fully evaluated.

30) Section C.5 pg. 10 Continuity of Operations and Disaster Recovery Support

Comment/Question: The information on page 10 of the SOW that defines the role the contractor must perform in support of disaster recovery and continuity of operations do not include discussions related to supporting the DR contractor. Can CMS please identify who is responsible for DR and Continuity of Operations planning, who is responsible for recovering the application and the infrastructure and where the site is located?

DR/COOP planning is to be done between the Hosting contractor, the DEV/Ops contractor, the Business Owners, and the System Owners. Standing the system up at the DR site is a coordinated effort between the Hosting contractor and the DEV/Ops team, driven by the Business/System Owners RTO/RPO requirements.

31) Section C.6.1.2 pg. 11 Contractor shall use the tools and software designated by CMS such as approved by the CMS TRA **Question:** Can we have a list of current approved tools?

Yes, the Offeror can be provided a list of CMS TRA approved tools/software upon request or the Offeror can visit the CMS Website.

32) Section C.6.1.2 pg. 11 All software purchases made by the Contractor during the period of performance shall be transferrable to the ownership of CMS **Question:** Some SW licenses are not transferrable, in this case is the CMS willing to purchase themselves?

The contractor must purchase transferrable software licenses.

33) Section C.6.1.3 pg. 12 Data Management Requirements

Work in coordination and collaboration with the CMS Data Strategy and Governance Team to support the strategic vision for the Marketplace data management to employ data format standards (e.g., XML, X12, EDI, and other formats), transport format, data translation for system interfaces, data models for FFM transactions and auditing, data retention policy, and Data Use Agreement with states and federal agencies. **Questions:** How does this align or what is the expectation for the Contractor to align with CMS' Master Data Management Shared Service? Is there a timeframe?

CMS is currently assessing timeline for integration of CMS' Master Data Management services to support the FFM operations and data management. Actual timeframe is still TBD.

34) Section C.6.1.3 pg. 12 The Contractor shall update, maintain, and enhance the FFM environments to serve multiple development work streams, production break-fixes, and testing including functional testing, integration testing, performance and stress testing for a variety of stakeholders including CMS, Federal partner agencies, Issuers, State agencies, and other contractors such as the ACA Independent testers. **Question:** How many 'FFM Environments' running in the VDCs will the Contractor be supplied access to and be required to support?

Request: Please provide the number of virtual and physical machines and the number of database in the current development, test, and production environments. Also, please provide any estimates of growth in each of these areas, if available.

The Marketplace development lifecycle utilizes a Production and a break fix environment, a Prod +1 and a Prod +2 development and corresponding lower implementation, test, and development environments for each of the paths.

35) Section C.6.1.3 pg. 13 The Contractor shall understand the current and plan for future infrastructure hosting environments for the FFM. This includes the existing hardware and software; roles and responsibilities of the hosting contractor and interactions with the Contractor; daily operations activities related to supporting the FFM environments; scheduled upgrades and changes to the FFM environments; and mechanisms for infrastructure change control. With that understanding, the Contractor will identify gaps and make recommendations to CMS for continuous improvement from an infrastructure perspective. **Question:** Again, can CMS identify the current hosting Contractor(s) and provide their future plan(s)?

The Marketplace is currently hosted by both Terremark/Verizon and HP with the migration completely over to HP after open enrollment 2015.

36) Section C.6.1.3 pg. 13 Assess current Standard Operating Procedures, roles and responsibilities, capacity management and upgrade plans. **Question:** Are the “Standard Operating Procedures” referenced here for the Exchange Operations Center or something else?

The Standard Operating Procedures are related to the FFM Operations.

37) Section C.6.1.6 pg. 15 Performance / Load Testing & External Load Testing **Question:** Is the load testing mentioned here expected to be done in conjunction with other systems critical to the performance of the overall consumer experience like the Data Services Hub and EIDM?

Yes.

38) Section C.6.1.6 pg. 15 Comprehensive Testing **Question:** Does CMS expect the Contractor to perform 508/Accessibility testing, or does CMS expect the contractor to use CMS’s 508 testing services and coordinate all releases with that function?

Yes, the Offeror performs 508 testing.

39) Section C.6.1.6 pg. 16 SOW states, “Deliverables provided under this contract will be accepted by CMS following verification of the deliverable’s quality by the Independent Testing Contractor and the System Integrator.” **Question:** Can CMS please further define the role these entities will play in the review and acceptance of deliverables by CMS?”

The independent testing contractor (i.e., ACA testing) would perform validation of deployments of code for new requirements, defect fixes, and change requests as part of the gate review for acceptance to deploy to production. The system integrator works with the development team and independent testing team to facilitate the gate reviews.

40) Section C.6.1.6 pg. 16 The Contractor shall prepare an Automated Testing Plan and execute automated regression testing suites and continuous integration for all software release cycles

Question: Is there an existing automated testing capability, and/or a selected COTS product to support automated testing for the FFM?

Yes.

41) Section C.6.1.7 pg. 16 The Contractor shall provide security documentation such as System Security Plan (SSP), Risk Assessment, Incident Response Plan, etc. and store in CMS CFACTS.

Question: Will CMS provide access to CFACTS to the Contractor or is there another entity expected to load the information into CFACTS?

Yes, after contract award.

42) Section C.6.1.6 pg. 16 The Contractor shall cooperate with CMS Independent Testing contractor and other CMS contractors, including Independent Verification and Validation Contractor (IV&V), to meet CMS testing standards and conform to CMS testing model for the Marketplace application **Question:** Can the CMS identify the current CMS Independent Testing contractor and other CMS contractors?

CMS' IV&V contractor is Turning Point; independent testing contractors are QSSI and eGlobalTech.

43) Section C.6.1.8 pg. 17 The Contractor shall analyze the existing FFM system in testing and production environments to assess its performance (e.g., response times, batch job times, error rates, number of concurrent transactions) for high-priority, critical functions and transactions and implement continuous improvements for system performance **Question:** Is this to be done during the transition phase, start-up phase, or when the new contractor has assumed full responsibility for O&M of the system/environment?

Transition.

44) Section C.6.1.9 pg. 18 The Contractor shall develop and provide an implementation plan for those SBMs transitioning to become part of FFM and carry-out activities outlined in implementation plan; including a data migration plan. **Question:** Is CMS aware of any States actively seeking to transition from SBM status back to the FFM? Is this expected to be completed before the next Open Enrollment in 2015?

Yes, Oregon and Nevada will be moving from an SBM to the FFM this open enrollment period, November 15, 2014.

45) Section C.6.1.11 pg. 19 The Contractor operations staff shall perform their work at the Marketplace Operations Center (XOC). **Question:** Our understanding is that the current XOC is contractor owned. **Correct.** Will the winning offeror be able to assume this facility **No**, or is it a facility covered in SOW section C.13 that the Contractor will establish? **The current XOC is at the QSSI facility in Columbia, MD.**

46) Section C.6.1.11 pg. 19 Operations & Maintenance includes, but is not limited to, application monitoring for production, attending daily operations calls and joining XOC call bridge, performing daily operations activities, systems change management, systems maintenance (emergency and standard), patching for infrastructure software, second and third-level help desk support, system restoration, repair for software, major and minor software releases, and reporting (standard and ad hoc).

Question: Where is the responsibility for performing tasks such as 'systems change management, systems maintenance (emergency and standard), patching for infrastructure software' versus the responsibilities of the VDC Service Provider and the CMS Hosting Contractor(s)?

At this time in both Terremark and HP the hosting contractor builds the VMs (delivered with the RHEL OS) and manages the firewalls. The VMs are delivered ready for the Developer to install and maintain the middleware up to the application code. The development contractor is responsible for patching and maintaining the middleware. The hosting contractor is responsible for patching the OS.

47) Section C.7 pg. 22 The following labor categories are considered key personnel under this contract and require approval from CMS: • Program Manager • Deputy Program Manager (or Chief

Systems/Enterprise Architect) • Manager and Technical Lead for each functional area (E&E, PM, FM, Testing, Other) **Questions:** Are these labor categories? **No.** Why does CMS have to approve these personnel for a CPFF contract? **See clause H.1 of RFP.**

48) Section C.8.a pg. 23-26 The Contract Deliverables are outlined in table C.8.1 below
Questions: Since FFM is already in production will the Government Furnished information include existing documentation related to the deliverables outlined in table C.8.1 such as data base design document, data dictionary, logical data model, etc?
Will the CMS provide this documentation well in advance of the proposal due date?

No; will be provided at contract award.

49) Section C.8 pg. 25 Table C.8.1, deliverable schedule; Deliverables 1.20, 1.21
Questions: Regarding the Database design document and data dictionary. Are these for existing system databases? If so how many schemas, tables and attributes exist, and what level of documentation exists? Can the documentation be provided well before the proposal due date?

No; will be provided at contract award.

50) Section C.8 pg. 25 Table C.8.1, deliverable schedule; Deliverables 1.22, 1.23
Questions: Regarding the Operations and Maintenance Manual and the User Manual:

- Do any documents exist and can they be provided well in advance of the proposal due date?
- How many user interface applications exist?
- How many batch operations exist?
- How may reports exist and can examples be provided well in advance of the proposal due date?

All of the above exist; will be provided at contract award.

51) Section C.8 pg. 25 Table C.8.1, deliverable schedule; Deliverable 1.29 **Questions:** Regarding the Logical Data Models, are these for existing system databases? If so how many schemas, tables and attributes exist, and what level of documentation exists and can the documentation be provided well before the proposal due date?

Will be provided at contract award.

52) Section C.16 pg. 32 Existing Workload and Deliverables
During the transition period the contractor will remain responsible for regular deliverables as listed in the SOW including 24/7 operational support, and resolution of defect correction builds. **Question:** Should this read the “incumbent contractor?”

Yes – SOW has been edited.

53) Section C.17 pg. 38 Continuous Monitoring: **Question:** There is no mention of any monitoring done by HHS. Is this still occurring and, if so can you describe what is monitored and how?
The FFM and its underlying infrastructure meet compliance for security event logging, continuous monitoring, incident response, and security operations in accordance to FISMA, HHS Cybersecurity Policy and the CMS ARS 2.0.

54) Section C.17 pg. 41 Confidential Treatment of Sensitive Information **Question:** Are companies that are owned directly by or subsidiaries of health insurance plans that offer insurance through either the federal or state based exchanges or SHOP conflicted from being either prime or subcontractors on this effort?

Yes, there would be a conflict of interest for a prime or subcontractor if the vendor would be exposed to FFM data that provides a competitive advantage.

55) Section C.19 pg. 47 IEEE Standards

Institute of Electrical and Electronics Engineers (IEEE)/Electronic Industries Association (EIA) 12207. CMS has adopted IEEE/EIA 12207 as the standard to be followed for the CMS Enterprise System Development IT Framework. The Framework draws heavily on the IEEE/EIA 12207 standard, but has been customized to meet CMS' specific needs. **Question:** Has CMS documented the customizations made to these standards and where can the contractor find them?

The XLC incorporates IEEE/ISO 12207 for software engineering but is customized for CMS and HHS requirements. The XLC uses the framework and some specific language from IEEE 12207, however the standard for CMS is the XLC not IEEE 12207.

56) Section C.21 pg. 51 At this time, CMS Metis licenses are limited. Therefore, unless a contractor is approved for a CMS Metis license, an alternative method must be used for producing a business process model diagram. All non-Metis business process models must be in BPMN and provided to CMS technical staff for Metis formatting. **Question:** Does the current FFM contractor have a METIS license and if yes, can it be reassigned to any new contractor that may win this bid?

No. Incumbent does not have METIS license provided by CMS. Also, as referenced in the SOW, BPMN is an open standard notation that CMS & DHHS has adopted to capture CMS business process models. As such, CMS does not specify any one product over others for production of BPMN.

57) Section C.21 pg. 51 At this time, CMS Metis licenses are limited. Therefore, unless a contractor is approved for a CMS Metis license, an alternative method must be used for producing a business process model diagram. All non-Metis business process models must be in BPMN and provided to CMS technical staff for Metis formatting. **Question:** What are other alternative methods that the CMS will approve?

As referenced in the SOW, BPMN is an open standard notation that CMS & DHHS has adopted to capture CMS business process models. As such, CMS does not specify any one product over others for production of BPMN.

58) Section C.5 Scope – Page 10:

“The Contractor shall support the continuity of business operations & disaster recovery for the Affordable Care Act Marketplace program. The Contractor in support of this effort shall:...”

Question: Does the government have an existing Business Continuity Contingency Plan or will the contractor have to develop one? Can the government provide ranges of Recovery Time and Recovery Point Objectives for the Program?

There is no COOP for the Marketplace at this time. The DR requirements were stated as RTO of 4hrs, and RPO to be no older than 5 minutes for the hosting contractor. The contractor will have to develop a COOP working with the Business Owner and the Hosting contractor.

59) Section C.6.1.6 Comprehensive Testing – Page 15:

“External Load Testing: The Contractor shall perform a managed external load test at least 2 months prior to the start of the 2015 open enrollment period; “

Question: Assuming Nov 15 2015 as the start of the 2015 open enrollment period, this would mean the managed external load test should be completed by September 15 2015 which is extremely aggressive given an RFP submission date of August 18 – Can the government clarify?

SOW Section C.6.1.6 has been revised to reflect execution and delivery of External Load Testing results as part of Offeror's delivery and compliance of CMS' Operational Readiness Review.

60) Section C.16 Transition Out to a New Contractor, Software Licenses - Page 32:

"Attached is a list of the licenses for which CMS has paid. CMS considers this government furnished property." **Question:** Can the Government please provide this attachment?

See attached *FFM HW/SW List*

61) Section C.21 CMS Standards and Guidance, Capability Maturity Model Integration (CMMI) Level - Page 53:

"By calendar year 2012, all CMS IT contractors providing development and/or maintenance support, system integration, and/or engineering and technical support solutions for CMS payment systems shall be at Level 4 CMMI®."

Question: Can CMS please clarify if this system is considered a "CMS Payment System?"

SOW has been edited: *By calendar year 2012 and CMS payment systems have been deleted.*

61a) **Question:** Is the CMMI Level 4 certification a mandatory qualification? *Yes We don't see evaluation criteria for this requirement in Sections L and M. CMS's "shall" makes this unnecessary for inclusion in Sections L and M. During the proposal evaluation CMS will verify each offeror's CMMi status.*

61b) **Question:** If CMMI Level 4 is not mandatory, what is the expected timeline after contract award for the FFM prime vendor to meet CMMI Level 4? *Not applicable.*

61c) **Question:** Do those vendors certified at Level 4 CMMI after calendar year 2012 and those vendors in process of moving from Level 3 to Level 4 meet the requirement? *L4 at the time of proposal submission is the requirement. Failure to meet that standard will preclude the offeror from award.*

62) General Question – No reference **Question:** Will the government allow Offeror to propose outsourced/offshore development and testing resources, as well as personnel outside the continental United States, to better support the FFM project?

No.

63) FFM_SOW Page 5 C.5 Scope Eligibility and Enrollment "Consumer may also initiate an appeal request of eligibility and/or APTC/CSR determination and ask for a re-determination, which is processed through an integrated Appeals Case Management system" **Questions:** Would the government please provide details on what the Contractor is expected to propose for the 'integrated Appeals Case Management system'? What system is currently being used for this functionality?

Appeals process is supported by MAXIMUS, who provides Case Management system that operates independently from the FFM while appeals activities that include re-determination and re-application are completed within FFM. Reference to integrated Appeals Case Management system has been removed from the SOW. The FFM does have to provide support and integration for the appeals process.

64) FFM_SOW Pages 5-6 C.5 Scope E&E Business Operations

"IRS Reporting (January - December); weekly, monthly, and Annual reports to IRS of enrollment and APTC/CSR; Public facing SLCSF premium tool and Lowest bronze plan premium tool." **Questions:** Would the government please clarify what functionality the 'public-facing SLCSF' and 'lowest bronze

plan' premium tools should entail? What tools are currently being used for these two components of IRS reporting?

SOW has been updated to reflect frequency of IRS reporting to be monthly and annual only.

As part of its scope, 'public-facing SLCSP' and 'lowest bronze plan' premium tools shall support a web-based query by consumers to look-up premium values for SLCSP and lowest bronze plans based on residence that coincides with their FFM application.

Currently, IRS monthly and annual reports are being developed; FFM will be utilized to extract data required for these reports.

65) FFM_SOW Page 10 C.5 Scope Second-to-last bullet point
"Support business requirements and operational requirements for FFM states transitioning to SBM states and execute transition (data, system, design, etc.) from FFM state to newly established SBM state in time for next Open Enrollment." **Question:** Given the complexity of this requirement, would the government please extend the 'next Open Enrollment' definition from November 15, 2014 to January 1, 2015?

No.

66) FFM_SOW Page 10 C.5 Scope Last bullet point
"For all services and products rendered, the Contractor shall follow an approach for governance, management, and execution that is consistent and aligned with CMS Technical Reference Architecture (TRA), CMS Expedited Life Cycle (XLC), CMS MITA Framework, and Federal Information Security and Privacy standards." **Question:** Would the government please confirm that the Contractor shall follow version 3.0 of the CMS MITA Framework?

Yes.

67) FFM_SOW Pages 15-16 C.6.1.6 Comprehensive Testing External Load Testing
"The Contractor shall perform a managed external load test at least 2 months prior to the start of the 2015 open enrollment period..." **Questions:** With the 2015 open enrollment rapidly approaching on November 15, this requirement implies that external load testing should begin as early as September 15; due to the project procurement timeline, would the government please extend the '2015 open enrollment period' definition [for the purposes of external load testing] to January 1, 2015?

No.

68) FFM_SOW Page 21-22 C.7 Key Personnel
Question: To mitigate the risks associated with proposing key personnel from subcontractors/team members to act on behalf of the Prime, would the government please revise this requirement to ensure that all proposed key personnel are employed by the Prime?

No.

69) FFM_SOW Page 30-32 C.16 Transition Out to a New Contractor Software Licenses
"Attached is a list of the licenses for which CMS has paid. CMS considers this government furnished property." **Question:** Would the government please provide the list of licenses for which CMS has paid? It is not included in the bid package.

See attached HW/SW List

- 70) FFM_SOW Pages 50-51 C.21 CMS Standards and Guidance EA Repository sub-bullet
 “DHHS has adopted the Metis tool for modeling and reposing all of its EA artifacts” **Questions:**
 Would the government please confirm that the Metis tool adopted by DHHS is published by Troux Technologies? Also, will the government facilitate negotiations between the Contractor and the software vendor if the current, (limited) licensing package needs to be expanded for the project?
 As referenced in the SOW, BPMN is an open standard notation that CMS & DHHS has adopted to capture CMS business process models. As such, CMS does not specify any one product over others for production of BPMN nor get involved in any licensing agreements.
- 71) SOW – General (no SOW location detail provided) Is testing of SBM/SPMs in scope of this contract?
 SPM, yes; SBM, only for financial management.
- 72) SOW – General (no SOW location detail provided) Is maintaining FDSH and integration with states within the scope of this contract?
 No.
- 73) SOW – General (no SOW location detail provided) Do we have a regression suite available for reuse?
 Yes.
- 74) SOW – General (no SOW location detail provided) What is the extent of automation already done on existing system?
 CMS is currently developing automated testing for the FFM.
- 75) SOW – General (no SOW location detail provided) Is there any test data management solution in place? **Yes** Is there any data masking solution in place to get production data into test systems after masking? **No**
- 76) C.3 FFM_SOW **Questions:** Please provide the extent to which system is compliant to ARS security requirements? Are there any existing GAPS which are not implemented/identified during the IRS/CMS/Third Party Audits.
 Currently, the FFM is operating as a fully authorized system in compliance with CMS ARS standards. System security deficiencies and defects are subjected to a fully implemented security remediation process that utilizes continuous monitoring tools and processes. All defects and deficiencies are identified, documented, prioritized and tracked as a part of the CMS POA&M process.
- 77) C.5 pg. 12 FFM_SOW Refer this line in SOW – “Ensure Marketplace application meets all HHS, CMS, and other Federal requirements for security as to maintain the Authority to Operate (ATO)”
Clarification: Kindly clarify on the HHS, CMS and Other Federal requirements which need to be maintained.
 As a FISMA compliant system, the FFM has been assessed and authorized according to CMS ARS 2.0. The safeguards within the ARS 2.0 are based on the NIST 800 series publications with enhancements that reflect the mission of CMS as a provider of services to citizens. This includes adherence to FISMA, HIPAA, IRS Safeguards, FIPS and Privacy Laws.

78) C.6.1.3 pg. 13 FFM_SOW **Questions:** Authentication and Authorization Requirements – Provide a brief overview of the authentication and authorization model which exists today, Are there any enhancements required to support the existing authentication and authorization requirements. Are there any specific customizations done state based?

FFM complies with security model as outlined in CMS' ARS for both authentication and access. This also ensures adherence to security and privacy requirements of SSA and IRS.

79) C.6.1.6 pg. 17 FFM_SOW Comprehensive Testing – Security/Penetration Testing. **Questions:** Kindly confirm if we will need to complete an end to end Penetration testing, if yes does it need to be a third party independent assessment. If end to end penetration testing needs to be done, it is assumed that Infosys has been authorized to perform penetration testing on the Network and IT infrastructure of the hosting vendor where the Federally Funded Market Place is hosted. Are there any specific tools that need to be used for the penetration testing?

Awardee is not required to provide penetration testing. Penetration testing is performed at the enterprise level on the network and IT infrastructure. This includes all components of the Federally Facilitated Marketplace.

80) C.6.1.7 pg. 18 FFM_SOW Refer to - The Contractor shall provide security documentation such as System Security Plan (SSP), Risk Assessment, Incident Response Plan, etc. **Questions:** Is there an existing documentation available for the existing platform, any future enhancements/updates to the document will be made on the existing documentation. This is primarily to clarify if the documentation has to be re-written from scratch.

Yes; upon award.

81) C.17 pg. 35 FFM_SOW Data Security Requirements – **(Question)** Are there existing data security controls in place which has been implemented for the current platform.

Refer to :

This contract will require storage and analysis of personally identifiable information (PII) and personal health information (PHI); therefore, effective security is crucial. Use of IPsec and SSL VPN, firewalls, network-based IDS/IDP, host-based IDS, authentication and authorization services.

It is assumed that the Data Center hosting vendor will provide the Security IT infrastructure such as – SSL VPM, Firewall, IDS/IPS, etc are available and Infosys would work with the Vendor to make necessary configuration changes to support the security of the system.

Yes, the current platform has been assessed and authorized according to CMS ARS 2.0. The safeguards within the ARS 2.0 are based on the NIST SP800-53 controls with enhancements that reflect the mission of CMS as a provider of services to citizens. This includes adherence to FISMA, HIPAA, IRS Safeguards, FIPS and Privacy Laws.

Solicitation

1) H.4 pg. 22 "Covered Entity" shall mean CMS' Medicare Fee for Service program and/or Medicare's Prescription Drug Discount Care and Transitional Assistance Programs. **Comment/Question:** As "Covered Entity" is defined here, it does not cover the Health Insurance Marketplace. Is it CMS' intent to speak only to these specific programs? Our understanding is this contract will deal with handling PHI from the Marketplace and Medicaid programs. Please clarify.

Please see revised RFP.

2) H.9 pg. 23 SECURITY CLAUSE -BACKGROUND – INVESTIGATIONS FOR CONTRACTOR PERSONNEL
CMS CLAUSE 09A-01 (MAY 2007) **Questions:** Are there Clearance Substitutions? DOD, other Agencies?

There are specific conditions where CMS will accept investigations from other agencies. However, that is on a case-by-case basis.

3) L.10h pg. 68 Proposal Submission date: August 18, 2014 **Question:** We would request the due date for response be extended two to four weeks (2-4wks). The additional time is necessary for us to complete a detailed analysis of the materials provided and allow us sufficient time to prepare the best, most comprehensive response possible.

Solicitation due date was extended to September 18, 2014. Please see Amendment #1.

4) L.11a pg.68 The paragraph states "(See Section L.15 6for details)" These is no Section L.15. Please clarify that the Reference should be to Section L.13.

Please see revised RFP.

5) L13.3.e pg. 73 e. Resumes shall not exceed 3 pages and provide date/issue number of all certifications relevant to the qualifications/expertise of the person proposed. Failure to include this information will be negatively evaluated. Offerors are cautioned this will be verified. **Question:** Is it CMS' intent to have the contractor provide resumes for all personnel working directly on the contract or just those listed as key?

Please see revised RFP.

6) L.12.2 pg. 70 The technical proposal document must be in Microsoft Word, the business proposal must be in Microsoft Excel. **Comment/Question:** The Business proposal has a number of different content types that don't lend themselves to being easily placed into a Microsoft Excel spreadsheet (e.g. the business proposal (Excel Spreadsheet), audited financial results (typically stand-alone pdf documents), uncompensated overtime policy (Microsoft Word). May we have some flexibility to provide the business proposal with the sections format being the one most appropriate for the content?

Please see revised RFP.

7) L.13.3 pg. 73 The paragraph in the middle of the page states "This information shall be provided for the project team members and, to the extent possible, for the additional and supportive personnel identified in paragraph g below." **Comment:** There is no "paragraph g." Please clarify this statement.

Please see revised RFP.

8) L.13.4 pg. 73 Corporate Experience **Question:** Can CMS please clarify the difference between corporate experience and past performance?
Corporate experience relates to what an Offeror has done. Past performance reflects the quality of the Offerors performance.

9) L.13.6 pg. 76 Past Performance Evaluation **Question:** Are offerors required to submit past performance citations for all project referenced in Corporate Experience?
CMS will contact the references provided for each referenced project described in the Corporate Experience section of the Technical Proposal.

10) B.3 TYPE OF CONTRACT – page 1:
“The CO reserves the right to award alternate types of contracts. “
Questions: What alternate types are up for consideration? All of them? How will the Government evaluate and compare alternate contract types vs. a CPAF proposal?”
Please see revised RFP.

11) L.14 BUSINESS PROPOSAL INSTRUCTIONS, Section 7. Other Administrative data, Government Property - Page 80:
“The management and control of Government Property must be in accordance with HHS Publication OS-686 entitled, "Contractor's Guide to Control of Government Property (1990)," a copy of which will be provided upon request.”
Question: Can the Government please provide a copy of OS-686?
It is provided as an attachment.

12) Business Proposal Template Base and all option year tabs **Question:** Based upon the information provided by CMS, it is virtually impossible to define the quantity of hours required to both maintain the current environment, as well as to provide developmental enhancements that are yet to be fully defined. Can CMS provide some basis of Level of Effort that should be used to offer a valid comparison between submitted proposals?
Offerors should propose the number of hours in accordance with their technical approach.

13) Performance Evaluation Award Fee Plan Section 3 Description of Contract, Contract Outcomes – page 2 (Third bullet):
“Contractor will provide and maintain all software and infrastructure required to enhance, maintain, configure, tune, and deploy the components of the Marketplace Application. Contractor agrees to use the tools and software designated by CMS to support the Marketplace application.”
Question: Given that the application will be hosted in the VDC environment can CMS provide clarification on the software and infrastructure that will need to be provided and maintained?
A software list is provided as an attachment.

14) FFM_RFP Page 70 L.12 Proposal Presentation and Delivery
L.12.9 “Please provide a notice of intent to propose no later than 2:00 p.m. EST on Wednesday, August 6, 2014.” **Question:** Would the government please publish the list of intended bidders to enable small businesses to identify potential primes prior to the proposal due date?
The FedBizOpps posting has an interested vendors list.

15) FFM_RFP Page 70 L.13 Technical Proposal Instructions

“Offerors are cautioned that any pages exceeding the 150 page limit will not be reviewed or evaluated.
Question: To allow for more succinct responses, would the government please consider reducing the page limit from 150 pages to 75 pages?

Please see revised RFP.