



Form GSOP 1-PIN (04/98)

STATE OF CALIFORNIA
Department of General Services - Office of Procurement

PURCHASE ORDER

Purchase Order No. **62366** Rev. **6/18/2009** Date

Supplier No. 812126	Solicitation No. 57189	Delivery Date As Specified	FOB Point Destination	Invoice Terms NET 45
<i>S</i> CA DEPT OF AGING <i>h</i> T CONTRACTS/BUSINESS SERV <i>i</i> o 1300 NATIONAL DRIVE, #200 <i>p</i> SACRAMENTO, CA 95834		<i>C</i> DEPT OF AGING D-05 <i>h</i> 1300 NATIONAL DRIVE <i>a</i> T SUITE 200 <i>r</i> o SACRAMENTO CA 95834 <i>g</i> <i>e</i>		
Agency Billing 10370	Agency Purchase Estimate CDA08016	Purchase Estimate 67334	Revision 0	
Agency Contact RACHEL DE LA CRUZ		Phone 916-419-7539	Date Received	

PEERPLACE NETWORKS LLC
300 MAIN STREET
SUITE 4-205
EAST ROCHESTER, NY 14445
Attn: ERIC FREY

Phone: 585-586-1940

Item No.	Quantity	Unit	Commodity Code	Description	Unit Price	Extension
<p>PERIOD OF PERFORMANCE: The Purchase Order is effective the day it is signed through June 30, 2013.</p> <p>The State reserves the right to extend the term of the contract for up to four (4) additional years. The optional year(s) will be implemented by a written Amendment to the Purchase Order.</p> <p>TERMS AND CONDITIONS:</p> <p>THE ATTACHED STATEMENT OF WORK, CONSISTING OF SIXTEEN (16) PAGES IS PART OF THIS PURCHASE ORDER.</p> <p>THE FOLLOWING DOCUMENTS ARE INCORPORATED INTO THIS PURCHASE ORDER AND MAY BE VIEWED AT THE WEBSITE LISTED.</p> <p>IT General Provisions, GSPD-401IT Revised and Effective 4/12/2007 http://www.pd.dgs.ca.gov/modellang/genprovit.htm</p> <p>Personal Services Special Provisions (Effective 02/08/07) http://www.pd.dgs.ca.gov/modellang/Personal+Services+Special+Provisions+01-21-03.htm</p> <p>Information Technology Purchase Special Provisions (Effective 01/21/03) http://www.pd.dgs.ca.gov/modellang/purchsespecial012103.htm</p> <p>Information Technology Software License Special Provisions (Effective 01/21/03) http://www.pd.dgs.ca.gov/modellang/Software%20Special%20Provisions%2001-21-03.htm</p>						

Sales and/or use tax to be extra unless noted above

Buyer MARTY ZUBEIDI	Phone 916-375-4435	BOC Number
------------------------	-----------------------	------------

STATE OF CALIFORNIA

Department of General Services - Office of Procurement

PURCHASE ORDER CONTINUATION

Form GSOP 2-PIN (04/98)

<i>Purchase Order No.</i> 62366	<i>Revision</i>	<i>Date</i> 6/18/2009	<i>Supplier No.</i> 812126	<i>Supplier Name</i> PEERPLACE NETWORKS_LLC
---	-----------------	--------------------------	-------------------------------	--

<i>Item No.</i>	<i>Quantity</i>	<i>Unit</i>	<i>Commodity Code</i>	<i>Description</i>	<i>Unit Price</i>	<i>Extension</i>
1	1	EA	7090-250-2314-7	SOFTWARE SYSTEM PROGRAM DEVELOPMENT OF HICAP SHARP SYSTEM, INCLUDING MAINTENANCE AND WEB HOSTING FOR 700 CONCURRENT USERS.	79,480.0000	79,480.00
2	1	EA	9091-250-0052-8	SOFTWARE SUPPORT & MAINTENANCE MAINTENANCE AND WEB HOSTING - YEAR TWO	54,480.0000	54,480.00
3	1	EA	9091-250-0052-8	SOFTWARE SUPPORT & MAINTENANCE MAINTENANCE AND WEB HOSTING - YEAR 3	54,480.0000	54,480.00
4	1	EA	9091-250-0052-8	SOFTWARE SUPPORT & MAINTENANCE MAINTENANCE AND WEB HOSTING - YEAR 4	54,480.0000	54,480.00
5	1	EA	9091-250-0052-8	SOFTWARE SUPPORT & MAINTENANCE MAINTENANCE AND WEB HOSTING - YEAR 5	54,480.0000	54,480.00
Total Value:						297,400.00

CHANGE ORDERS:

This Purchase Order may be amended, modified, or terminated at any time by mutual agreement of the parties in writing. Change orders amending, modifying or terminating the Purchase Order, including any modifications of the compensation payable, may be issued only by the State Procurement Officer. All such change orders shall be in writing and issued only upon written concurrence of the supplier. Termination, as that term is used in this section, does not include termination for default of the supplier.

STATE CONTRACTS AND PROCUREMENT REGISTRATION:

This Purchase Order has been registered into the State Contracts and Procurement Registration System (<https://www.scprs.dgs.ca.gov>). The Registration Number is: eP1015409

**Statement of Work (SOW)
CALIFORNIA DEPARTMENT OF AGING (CDA)**

**STATEWIDE HICAP AUTOMATED REPORTING PROGRAM (SHARP)
Statewide Health Insurance Counseling and Advocacy Program (HICAP)
Web-Based Hosted Database**

This Statement of Work ("Agreement") reflects the services to be provided by PeerPlace Networks, LLC, hereinafter referred to as the "Contractor," for the California Department of Aging, Contracts/Business Services, hereinafter referred to as the "CDA".

I. SCOPE

This Statement of Work (SOW) contains the details for providing a State HICAP web-based hosted data collection/reporting system with case management components. The system will receive State HICAP and federal Center for Medicare and Medicaid Services (CMS) State Health Insurance and Assistance Programs (SHIP) program data from 33 Area Agencies on Aging (AAAs) throughout the state using a single software program.

Essentially, CDA wants a single statewide software application for all HICAP Service Providers to use for case management and business purposes. The web-based data collection and reporting system will also support State and federal reporting requirements. The intended users of this web-based system are CDA employees, HICAP Counselors, Program Managers and support staff throughout the State. The application will provide "real-time" data collection and client counseling activity information in a universal platform. The web-site interface would mimic the current /Counseling Form, in a format all Counselors are already accustomed to using in recording counseling client information. Each client would receive a unique client identifier number in the database which would meet client confidentiality requirements. This database would contain client-level data on each client counseled, including profile and demographic information. Individual cases could be reviewed by the assigned counselor and local Program Manager at any time for quality assurance monitoring. The system would submit individual records based on collected data each quarter to meet federal CMS reporting requirements (the federal National Performance Report), with submit controls at the HICAP Program Manager, AAA and State levels. In addition, the functionality of the system would include other business lines such as community education [Public and Media (PAM) Report] and a Counselor personnel database, along with ancillary functions for an aggregated Legal Services report.

II. OBJECTIVE

The objective of this procurement is to provide CDA (the State) and local HICAP Service Providers with a fully integrated centralized database that is capable of meeting all local Program case management needs and meets state and federal reporting requirements for the HICAP program. The system architecture must also be scalable and adaptable to allow for eventual data access and sharing across a variety of other state aging related databases.

III. BUSINESS OF HICAP

The business of HICAP, using paid and volunteer trained State Registered Counselors, is two-fold: (1) to assist individual clients with understanding their Medicare and health insurance issues, billing, plan coverage and rights under the law, and (2) to educate the general public on Medicare and health insurance myths and realities and rights under the law. HICAP is open for business during general business hours and work days, Monday through Friday.

IV. DEFINITIONS

- Validation means an official certification from someone of authority (usually the executive director or their representative) from the agency or organization submitting data endorsing that data being submitted meets the reporting requirements set for by CDA's specifications. This is done through a process of review and evaluation whereby the data to be reported is judged by the person submitting the data, either in summary or in detail, to be accurate and complete prior to submission.
- Standard report means a routine report that uses a standardized format displaying a set of variables exactly the same way every time it is used. A standardized report generally cannot be easily customized by the user.
- Ad hoc report means a personalized report designed by the user which can be saved as a template to use again at a later time for the same purpose.
- Query means the ability to tap the database for single or multiple variables in any arrangement the user demands.
- Encounter-level data is a federal reference to an individual client case where the Client Intake Form equals one person contacted. These contacts may be duplicated.
- Logic checks provide the software application the ability to calculate and identify logic errors via cross checking data prior to its submission. For example, a calculation that adds females, males, and gender missing and checks them against total clients. If the total of females, males and missing gender are not equal to total clients, the gender category is flagged as not logical. The data cannot be submitted until the error is corrected.

V. SERVICE OVERVIEW

A. The Contractor will provide development and maintenance services to:

1. Create or modify a Commercial-Off-The-Shelf (COTS) web-based hosted HICAP application to include the program functionality requirements in such a way that:
 - a. Program data is integrated in one hosted system shared among separate HICAP Providers and AAAs, but with appropriate access controls.
 - b. Specific State reporting requirements are met.
 - c. Federal CMS reporting requirements and deadlines are met.
 - d. Provides for standard report generation and capabilities for ad-hoc multi-variable reporting based on independent queries made by CDA, AAA, and/or Service Provider users.
 - e. Supports future linkage with other relevant databases/data sets.
2. Provide system functionality that allows for efficient electronic collection, validation, analysis, management, distribution and reporting of unique client data, aggregate and other program data, and that meets all Federal CMS and State CDA reporting requirements (Exhibits A-F).
3. Develop the electronic data interface for the HICAP data elements to CMS' National Performance Report (NPR), in accordance with federal specifications. The federal NPR will be populated from data within the State HICAP database.

B. The Contractor will also provide:

1. Necessary training for CDA Information Technology (IT) staff, CDA, AAA, and Service Provider users to effectively use the system. This training may be conducted on site or via the Internet (e.g. webinar).

2. Ongoing hosting services for access to case management and for reporting of the state data in the system.
3. Scheduled maintenance, updates, and upgrades by the Contractor in response to correcting problems in the system, changes in federal and State data collection requirements, and changes in the HICAP network needs, as determined by CDA.

Current Data Collection and Reporting System and Proposed Data Collection and Reporting System

Program	Existing		Conversion		
	Existing Local Systems	Existing State System	Data Elements	Data Collection Methodology	Data Detail
HICAP	Care Access; SAMS; Excel; Other	Paper; Access – aggregated data only	See HICAP Database Specifications Exhibit # G	Providers directly input into HICAP system client-level data via a web-based hosted interface.	Individual Client-Level (encounter level)

VI. DESCRIPTION OF RESPONSIBILITIES

A. Contractor Responsibilities

1. The Contractor shall create a new, or modify their hosted software product database system, to meet CDA criteria, requirements, specifications, and needs as specified in this Statement of Work (SOW).
2. The Contractor shall provide hosting services to CDA and Service Providers for the HICAP program.
3. The Contractor shall provide an experienced project manager to manage the design, configuration, testing and implementation of the new or COTS system, and oversee the execution of the tasks in this SOW.
4. The Contractor shall provide at a minimum, weekly status updates and written reports, if requested by CDA. Weekly status updates shall include, but are not limited to, problems and concerns that may affect schedules, proposed Contractor corrective actions, and the status of existing corrective actions. In addition, the Contractor is responsible for notifying CDA of AAA and Service Provider compliance issues as they arise.
5. The Contractor shall participate in all meetings and activities that are deemed by CDA to be necessary for completion of deliverables.
6. The Contractor shall provide training for CDA IT staff, CDA, AAA, and Service Provider users to effectively use the system. This training may be conducted on site or via the Internet (e.g., webinar).
7. CDA IT staff training shall include complete instruction and written documentation on all CDA administrative controls for the system.
8. The Contractor shall provide web-page accessed user manuals and any other documentation necessary to operate and administer the system.

9. The Contractor shall be responsible for physical and data security as follows:
 - a. The physical facility housing the server shall be protected from fire and other natural hazards.
 - b. There shall be an uninterrupted power supply for at least 30 minutes available in case of power outage.
 - c. Physical access shall be restricted at the facility to authorized personnel only and the Contractor shall control the access to the data in the system to authorized users.
 - d. There shall be a disaster recovery plan to provide for the resumption of operations in the event of a catastrophic event.
 - e. Data security measures shall be compliant with Health Insurance Portability and Accountability Act (HIPAA) regulations.
 - f. Data shall be backed up on the hosted database daily.
 - g. All software security patches and upgrades for the hardware and software shall be deployed timely.
 10. The Contractor will be the custodian of the HICAP data. Use of subcontractors to provide services required by this RFQ-ITS enables a Bidder to expand their ability to meet the needs of the State, however, use of subcontractors does not relieve the Bidder from any responsibility to the State under the Contract, or this RFQ-ITS. If the Bidder chooses to use a subcontractor in fulfilling the requirements of this RFQ-ITS, which is expected to receive more than 10% of the total Contract value, the subcontractor must certify in writing to the Bidder they will abide by the terms and conditions of this agreement.
 11. In the event the contract is terminated for any reason, the Contractor shall transfer the data to a host site approved by CDA within 30 calendar days. The custodian will provide the owner of the data access to the data. The responsibilities of a custodian of state data (State Administrative Manual 5320.3) are as follows:
 - a. Complying with applicable law and administrative policy.
 - b. Complying with additional security policies and procedures established by the owner of the automated information and the agency Information Security Officer.
 - c. Advising the owner of the information and the agency Information Security Officer of vulnerabilities that may present a threat to the information and of specific means of protecting that information.
 - d. Notify the owner of the information and the agency Information Security Officer of any actual or attempted violations of security policies, practices and procedures.
 12. The Contractor shall assist CDA by reviewing and recommending modifications to the CDA data specifications for use by the Contractor and the HICAP programs/AAAs in complying with State data collection requirements. Specifically, the Contractor shall review the CDA HICAP specifications and ensure they meet, at a minimum, the published CMS data requirements (Exhibit G).
 13. The Contractor shall keep the CDA HICAP Project Team informed about testing goals and strategies.
 14. The Contractor shall be responsible for providing technical assistance where necessary and applicable.
- B. Department Responsibilities
1. The Department shall provide a dedicated internal Project Manager from existing staff. The Project Manager will be a part of the CDA HICAP Project Team for this project.

2. The Department shall be responsible for working out State policy issues with AAAs and Service Providers and upon notification of issues by the Contractor, will be responsible for AAA/Provider compliance, cooperation, and participation.
3. The Department shall be responsible for developing preliminary and final HICAP Specifications timely for Contractor comment and recommendations and for approval of the Final Specifications.
4. The Department shall provide business information, data, and documentation to facilitate the Contractor's work.
5. The Department shall be the owner of any and all data collected by the HICAP system. The owner of the data shall have access to all the data. The responsibilities of the owner of State data (State Administrative Manual 5320.2) are as follows:
 - a. Classifying each file or database for which it has ownership responsibility in accordance with the need for precautions in controlling access to and preserving the security and integrity of the file or data base.
 - b. Defining precautions for controlling access to and preserving the security and integrity of files and data bases that have been classified as requiring such precautions.
 - c. Authorizing access to the information in accordance with the classification of the information and the need for access to the information.
 - d. Monitoring and ensuring compliance with agency and state security policies and procedures affecting the information.
 - e. Identifying for each file or data base the level of acceptable risk.
 - f. Filing Information Security Incident Reports with the CDA Information Security Officer.

The ownership responsibilities must be performed throughout the life cycle of the file or database, until its proper disposal. Program units that have been designated owners of automated files and data bases must coordinate these responsibilities with the CDA Information Security Officer.

6. The Department shall approve payments to the Contractor upon completion and acceptance of all deliverables, and submit them for payment according to the terms as outlined in the approved contract.
7. The Department shall coordinate system acceptance testing and provide final approval for the system to be moved into production.

VII. OTHER PROVISIONS AND ASSUMPTIONS

A. Assumptions

1. The Contractor's work hours will facilitate working together with CDA staff as necessary. CDA staff hours generally are from 8:00 a.m. to 5:00 p.m., Pacific Time, Monday through Friday, with the exception of state holidays. Contractor shall be available during these hours. If an in-person meeting is required, Contractor will travel to CDA at their own expense.
2. CDA and the Contractor are mutually obligated to keep open regular channels of communication in order to ensure the successful execution of this contract. Both parties are responsible for communicating potential problems or issues to the other party (e.g.,

the CDA Project Manager or the Contractor) within 48 hours of becoming aware of said problem.

3. Deliverables and invoices shall be submitted to the CDA Project Manager by both electronic means and hard copy. (See address below under VIII. Payment.)

B. Maintenance Period

The Contractor will provide data hosting, storage, and system maintenance. Charges are pro-rated from the point of operation when system is moved into production.

C. Unanticipated Tasks

1. In the event that additional work must be performed in which both parties agree was unanticipated, necessary to the successful completion of the project, and is within the scope of the contract, the procedures outlined in this provision shall be employed.
2. When the Contractor determines that a deliverable cannot be done within the estimated cost to complete, the Contractor will immediately notify CDA in writing of the estimated hours and the cost to complete the deliverable. Upon receipt of such notice, CDA may:
 - a. Authorize the additional work, or
 - b. Terminate further work on the deliverable, or
 - c. Alter the scope of the deliverable in the contract to define tasks which can be accomplished within the remaining estimated work hours/funds for that deliverable.
3. For each item of unanticipated work, a Work Authorization form will be completed and will be incorporated as a schedule to this contract.

D. Timeframe Constraints

The system must be fully configured, tested, implemented, staff trained, and Service Providers successfully cutover by September 30, 2009 in order to collect and submit live client level data.

VIII. PAYMENT

- A. After acceptance by the State of the SHARP deliverable, the Contractor will submit an invoice to the address below:

Attention: HICAP Project Manager
California Department of Aging
1300 National Drive, Suite 200
Sacramento, CA 95834

- B. Invoices shall be submitted in triplicate and shall include the contract number, item number, unit prices, extended item price, and invoice total amount. State sales tax and/or use tax shall be itemized separately and added to each invoice as applicable. Payment will be made within 45 calendar days after receipt of a valid invoice. Payment for work will be made upon acceptance and invoiced in arrears, except web hosting will be invoiced quarterly in arrears and user requested enhancements will be invoiced monthly for hours expended on approved changes in arrears.

IX. DELIVERABLES

A. Project Management – Work Plan and Schedule

1. A documented Work Plan with schedule will be completed and approved by HICAP Project Manager within ten (10) days after contract issuance. The work schedule will be updated by Contractor as needed.

B. Statewide HICAP Automated Reporting Program (SHARP)

1. Intake and Counseling Module – This module collects and reports client level data for all client intakes, client counseling activities, and client demographic profiles. In addition, this module will include standardized reports that are institutionalized and made readily available by a one-touch button, reports based on queries that are not necessarily saved and ad hoc reports that are saved as templates for future use by individuals. This module is considered complete and delivered when the following functionalities are accepted by CDA:
 - a. Acceptance of demonstration of client intake information input by standardized Graphic User Interface (GUI) (that looks identical to the Client Intake/Counseling Form 264A) and reports (Exhibit A).
 - b. Acceptance of demonstration that system meets federal NPR encounter-level data specifications from the SHARP database.
 - c. Acceptance of demonstration that the system meets federal NPR Resource Reporting data reporting specifications from the SHARP database.
 - d. Acceptance of demonstration that the system meets all applicable State and federal privacy and encryption requirements (e.g., encryption systems, permissions, access codes, HIPAA requirements).
 - e. Acceptance of demonstration that system produces ad hoc special reports and queries using any variable or any combination of multiple variables.
 - f. Acceptance of demonstration of intake and counseling information by standardized reports.
 - g. Acceptance of demonstration that the system tracks individual client intake and counseling (case work) tables are linked to Counselor module tables.
2. Counselor Registration/Information Module – This module collects counselor profile, training, and continuing education data. In addition, this module will include standardized reports that are institutionalized and made readily available by a one-touch button, reports based on queries that are not necessarily saved and ad hoc reports that are saved as templates for future use by individuals. This module is considered complete and delivered when the following functionalities are accepted by CDA:
 - a. Acceptance of demonstration of Counselor profile information input by standardized GUI (input screen) and reports (Exhibit D).
 - b. Acceptance of demonstration that the SHARP system Counselor Registration module is linked to the individual Intake and Counseling Module table(s).
 - c. Acceptance of demonstration that the SHARP system tracks individual Counselor profiles and continuing education information.
 - d. Acceptance of demonstration of Counselor training and continuing education information functions able to produce standardized reports.
 - e. Acceptance of demonstration that system produces ad hoc special reports using any variable or combination of multiple variables.
 - f. Acceptance of demonstration that Counselor records remain accessible for counselors who have resigned from the program.
 - g. Acceptance of demonstration of ability to collect and report counselor resource data which is needed for NPR, to include items such as non-counseling time from counseling time.

- h. The system has User Log On/Off Tracking, Audit Trail, Monitoring and Reporting capabilities.
 - 3. Public and Media (PAM) Activities Module – This module collects and reports all individual public events and media activities data. In addition, this module will include standardized reports that are institutionalized and made readily available by a one-touch button, reports based on queries that are not necessarily saved and ad hoc reports that are saved as templates for future use by individuals. This module is considered complete and delivered when the following functionalities are accepted by CDA:
 - a. Acceptance of demonstration that the system meets federal NPR PAM data entry specifications from the SHARP database. (Exhibit B)
 - b. Acceptance of demonstration of public media event information input by standardized GUI and standard reports.
 - c. Acceptance of demonstration that system produces ad hoc special reports.
 - d. Acceptance of demonstration that the system tracks individual records of public and media activities information and links with Counselor module.
 - 4. HICAP Legal Services Report Module – This module collects and reports all aggregated legal services provided by HICAP data. In addition, this module will include standardized reports that are institutionalized and made readily available by a one-touch button, reports based on queries that are not necessarily saved and ad hoc reports that are saved as templates for future use by individuals. This module is considered complete and delivered when the following functionalities are accepted by CDA:
 - a. Acceptance of demonstration of HICAP Legal Services information input by standardized GUI and standard reports (Exhibit C).
 - b. Acceptance of demonstration that system produces ad hoc special reports.
 - c. Acceptance of demonstration that the system tracks HICAP program performance.
- C. Training Deliverables
- 1. Training Curriculum
 - 2. Delivery of training for CDA users
 - 3. Delivery of web-based training for Service Providers and AAAs
 - 4. User Materials (for CDA users, AAA users, Service Provider Database Administrators)
- D. Final Certification Deliverable
- Implementation and Cutover Certification - Final sign-off by CDA will occur after demonstration of successful production environment.
- E. Written Licensing and Maintenance Agreement Deliverable
- Contractor shall provide, in writing, their licensing and maintenance agreement. Additional details as to the specifics of what CDA is expecting in the written licensing and maintenance agreement are located under Section X, Part G – Licensing/Maintenance.

X. MANDATORY REQUIREMENTS

A. Administrative Technical

Administrative controls – The Contractor will ensure that the SHARP system provides the ability to support CDA system administrative controls including, but not limited to, the ability to: add CDA user accounts, access and change any passwords, lock and unlock user accounts, and change user access rights. HICAP Service Provider Administrators will need the administrative ability to correct inaccurate data in the performance of their data integrity duties.

B. Performance

1. Performance response times – The Contractor will ensure that the system has acceptable data retrieval times consistent with industry standards for specific transactions, number of users, volume of data and technical architecture via the Internet. Response time for a transaction at a local workstation is measured from the time the 'Enter' key is pressed until the data is displayed on the screen with a normal operational load of 700 concurrent users. The retrieval times should be as follows; 50 records retrieval 1-3 seconds, 500 records retrieval 12-14 seconds, and 1000 records retrieval 25-35 seconds. This provision applies to the extent that the Contractor can reasonably be expected to have control since it requires that sites entering data have appropriate equipment and broadband connections.
2. Target times for non-data retrieval -Target times for non-data retrieval transactions such as application navigation, authentication, etc. will be 1-3 seconds.

C. Security

1. Physical security of data and data backups - HICAP hosting services must address the following physical security issues:
 - a. If the Contractor subcontracts, complete access for their support staff at the hosting and backup facilities.
 - b. All backup media and equipment must be stored in a physically secure location.
2. Network, application, and database security -The system shall provide security over the network, application, and database.
3. Federal and state mandates -The system shall comply with HIPAA and state requirements related to third party handling of data. The State Administrative Manual (SAM) requirements are as follows:
 - a. Risk Management (SAM 5305)
 - b. Responsibility of Custodians of Information (SAM 5320.3)
 - c. Physical and Environmental Security (SAM 5330)
 - d. Information Integrity and Data Security (SAM 5335.1)
 - e. Cryptography (SAM 5345.2)
 - f. Incident Management (SAM 5350)
 - g. Operational Recovery Planning (SAM 5355.1)
4. User audit capabilities -The system has User Log On/Off Tracking, Audit Trail, Monitoring and Reporting capabilities that are accessible to CDA upon request.
5. Users' logon passwords will be encrypted.

D. Hosting Services

1. Disaster recovery and fault tolerance - The Contractor has a disaster recovery plan and fault tolerance for its facility (ies), system, servers, data storage and backup that minimizes downtime.
2. Contractor custodian practices -The Contractor has processes and best practices that will be employed as the custodian of the CDA data with an emphasis on data integrity, availability, and redundancy. At a minimum, the State Administrative Manual 5320.3 should be met.
 - a. Comply with applicable law and administrative policy
 - b. Comply with additional security policies and procedures established by the owner and the CDA Information Security Officer
 - c. Advise the owner of vulnerabilities that may pose a threat to the data
 - d. Notify the owner of any attempted or actual violations of security policies, practices, and procedures.

E. Documentation

Complete user documentation - The system must include complete electronic user documentation (PDF, HTML and MS-Word format), including AAA and Service Provider user documentation for data direct input instructions, step by step procedures, screen shots, error messages, etc. CDA user documentation specific to the CDA system must be provided and updated with each new version.

F. Training

1. Initial training - The Contractor shall provide at least three user training sessions with the same content on the HICAP system, including how to access the web-site, how to log on-off, how to perform data entry, data manipulation, data import and export, data validation and report generation. The Contractor shall provide training materials/manuals on CDs, the SHARP website, or on the CDA web site for all participants. The training may be web based (webinar) and training materials are to be available for future viewing or reference at any time.
2. IT training - In addition to the user training, provide one session of administrator training to a minimum of three CDA IT staff, including the system administrator, one backup, and the IT/project manager. CDA IT staff training shall include complete instruction and written documentation on any CDA administrative controls for the system.
3. The Contractor shall provide IT training manuals on CDs or the SHARP website for all participants and any other documentation necessary to be trained and to operate and administer the system.

G. Licensing/Maintenance

1. On-going technical support for CDA - The Contractor will have the ability to provide on-going, daily, technical assistance to CDA users of the system and to make technical assistance available during normal business hours Pacific Time, 8 a.m. to 5 p.m., Monday through Friday, with the exception of State holidays. CDA requires response within 24 hours during these timeframes.
2. Available, maintainable system - The system is available during regular working hours so that Contractor upgrades and routine maintenance will not impact customer usage. Preventative maintenance shall occur off hours and not impact production. Testing will be

conducted to insure reliability so that future upgrades do not interfere with systems operations.

3. Future changes - The Contractor will make changes to the system to meet future federal CMS or State HICAP requirements, as authorized by CDA. These changes will be included in the price of the annual maintenance/license agreement.
4. All inclusive licenses - The Contractor shall not charge the State for additional or supplemental third-party products and licenses that may be required to realize complete functionality of the HICAP case management and data collection and reporting system.
5. The Contractor will include adequate licenses, which will include the following 3 separate levels of permissions, in order for users to fully utilize the functions of the SHARP system. Up to 700 individual user licenses should be available for distribution throughout the State.
 - a. "Administrative license" shall mean a software licensing agreement that grants permission to CDA to determine who will have access and user rights to the SHARP system.
 - b. "Administrative Service Provider" license will permit HICAP Program Managers to monitor open cases in their service jurisdiction, submit data, and view and edit their data submissions for the HICAP database, as well as allowing end-user access rights.
 - c. "End-user license" shall mean a license for individual access, which will include data entry, individual case/client research.
6. After normal business hours described in Paragraph 1 above, and in the event the website or system could not be accessed or used, or the system would cease to function properly, or some other unforeseen "emergency" should arise with the HICAP system, CDA will be responsible for contacting the Contractor for service after normal business hours. The Contractor will respond to emergency requests for technical assistance by CDA within 24 hours.

H. System Requirements

1. Browser based system - The Contractor's software must provide a server side application to run on a Contractor-hosted server and must be available to the end-user/client using Internet Explorer 6.x or greater with 128 bit encryption. No additional software should be required to be loaded on the local desktop.
2. Direct-input functionality - The system will be a hosted web-based instrument which can be accessed 24 hours a day for direct data input by users from all over the State of California.
3. Data exchange - The system will support various templates for data exchange with other entities such as Area Agencies on Aging and State/federal agencies.
4. Database transaction logging - The system will have database transaction logging capability. The system will have a database transaction logging capability for error handling mechanisms and program structuring mechanisms. These two mechanisms will provide users the ability to pinpoint where error occurs among various programming modules, to identify who is responsible for the change, to determine what changes were made and to back out the change and correct an erroneous or unintentional transaction.
5. Concurrent users - The system will have the capability to support licensed users at CDA, each AAA, and each HICAP Service Provider simultaneously and can actively handle concurrent connections when CDA, all the AAAs and all of the Service Providers are fully

using their maximum connections at the same time. The system will have the potential to increase concurrent users in the future without performance degradation.

6. Screen resolution - The system will provide users with the minimum industry standard development screen resolution of 800x600 for performance and protection against user eye fatigue. Screen resolution should be Americans with Disabilities Act (ADA) compliant.
 7. Industry standards for development - The Contractor will follow Industry Standards for programming and/or application changes. Contractors must follow standardized industry development methodologies such as IEEE (The Institute of Electrical and Electronics Engineers), ISO (International Organization for Standardization), and PMI (Project Management Institute) or equivalent.
 8. Predictive entry capability for commonly used categories.
 9. Sorting and filtering capabilities for all fields in database.
 10. Ability for direct data searches by client IDs or other variables.
 11. Ability to create Ad Hoc Reports solutions (from specialized queries with ability for save option and allows for the ability to reuse) for all modules.
 12. Capability of adapting to federal or State data element changes over time.
 13. Capability of the authorized person to have the ability to open, review and/or edit any client/counselor/PAM record at any time.
 14. Capability to enter and store all HICAP data.
 15. Capability of capturing (at intake or reception) quick call topic information for reporting into the NPR.
 16. Ability to export data from database into Microsoft Excel and Word.
 17. Capability of generating standard reports by multiple PSAs (Planning and Service Area), single PSAs, counties, and zip code areas.
 18. The system must have the capability to de-duplicate clients. The system must also be able to produce reports of client-level data by PSA without duplicates.
- I. State Functionality
1. Archive data - The SHARP system will address CDA's data retention requirement, the SHARP system will have the ability to reliably house, store, and access a minimum of four (4) years of completed data over and above the current year's incomplete dataset. In addition, once a year's worth of data has been "officially" declared "closed," that data can only be accessed in a read-only mode, unless access permissions allow data alteration by CDA.
 2. Data Validation – The SHARP system must have the ability to allow authorized individuals the capability to certify to CDA that the data they are submitting meets the reporting requirements set forth by CDA's specifications (see Exhibit G – SHARP (HICAP) File Specifications). Authorized individuals must also have the ability to modify, alter, or change any data. Data validation will be available on the following levels:
 - a. HICAP Program Manager – capability to review and validate summary data reports (which will mirror CMS NPR quarterly data submissions), which will then

- be "approved" for further review by the contracting AAA on a monthly/quarterly basis:
- b. AAA – capability to validate summary reports previously "reviewed and approved" from HICAP Program Managers, which will then be "reviewed and approved" by the AAA prior to being submitted on a quarterly basis to CDA. If the AAA does not "approve" the data submission by the HICAP Program Manager, they must be able to "reject" the summary report and return it to the HICAP Program Manager for corrections.
 - c. CDA – capability to validate summary reports from AAAs, which will then be submitted on a quarterly basis to CMS containing individual client level information in the required NPR format. If CDA does not "approve" the summary data submission by the AAA, they must be able to "reject" the summary report and return it to the AAA for corrections.
3. User Authentication - The SHARP system will have the ability to allow only authorized persons to have access to specific client and counselor records for the purpose of reviewing the data for accuracy, completeness, and correctness.
 4. Logic Checks – The SHARP system will have the ability to calculate and identify data logic checks to ensure accuracy via cross checking numbers.
 5. Sensitive Personal Identification Information - The SHARP system must allow CDA to block any sensitive client personal identification information (PII) from any reports that go beyond the Service Provider level.
 6. Permissions – The SHARP system will have the ability of authorizing levels of permissions and access for the HICAP network. CDA will provide information on authorized individuals and levels.
 7. Ability to export data from client-level to aggregate reports (standard and specialized) and from database into Microsoft Excel and include an easily accessible feature.
 8. Ability to allow for CDA to enter data to establish; benchmarks (for the State/AAAs); updated poverty level information in the Intake/Counseling Form GUI on quarterly, annual basis.
 9. Include a switchboard/menu with capability of one-click buttons for standard reports/screens of basic performance reports.
 10. Capability to generate standard reports from all modules by the entire State and multiple and/or single PSAs, counties, and zip code areas for the purpose of identifying service penetration trends in geographic areas (e.g., the data would describe how much of what type of counseling is needed in various geographic areas).
 - a. Capability to produce a standard report on specific needs/topics (e.g., problem types in order of frequency and their respective percentages. Capability of standard reports on specific needs/topics sorted by zip code and other variables.)
 - b. Capability to generate reports based on data input from all PSAs (see attachments):
 - i. Total clients reached per 10K beneficiaries in the state (Total Clients Served + Total Attendees at Event).
 - ii. Total one-on-one contacts and total one-on-one per 10K beneficiaries in the state.
 - iii. Total Beneficiaries with Medicare due to disability and total beneficiaries with Medicare Status due to disability per 10K disabled in the state.
 - iv. Total low-income contacts and total low-income contacts per 10K low income in the state.
 - v. Total enrollment contacts in the state.
 - vi. Total Part D enrollment contacts in the state.

- vii. Total Active Counselors per 10K Beneficiaries in the State.
- viii. Total % Counselors participating in Update Trainings in the State and by PSA.
- ix. Year to Date Benchmark targets for the state (established by CDA see #8).
- x. Total Counselors that speak an additional language to English in the state and by PSA.
- xi. Total Public Events (with breakouts of specific type)
- xii. Site management list using site zip codes, commonly used site names, and identify type (e.g., permanent, temporary, routine, or intermittent use).

J. Provider Specific Functionality

1. Intake/Counseling Form Functionalities

- a. Ensure local Program Managers have approval authority over all closed cases prior to finalization. A Counselor can complete a case, but final closure must be done by the Program Manager or authorized representative. Only officially closed case data can be submitted to the federal National Performance Report (NPR) system.
- b. Capability of automatically transferring NPR encounter-level (contact) data from HICAP database to the federal NPR meeting CMS specifications and cross-walking CDA data (CDA Form 264A) to meet CMS specifications (OMB No. 0938-0850). Auto-routing happens at close of case by Program Manager and with approval from AAA. These are data from client level system, but turned into a file for NPR sans sensitive PII and non-NPR data. The federal NPR does not accept PII data.
- c. Include screen (GUI) identical to Client Intake/Counseling Form 264A (See Exhibit A), with consideration for formatting.
- d. Capability of capturing client-level data on persons counseled, including personal identifiable information (PII) and unique client identifiers, plus lead Counselor and auxiliary Counselor identification numbers.
- e. Capability of searching for prior client data.
- f. Data will be linked to tables to allow automatic client intake record population (i.e., auto-filling new client demographics from prior client case work with pop-up feature to accept accuracy prior to database entry).
- g. Include a pop up "case notes" with unlimited text field with a time and date stamp.
- h. Include a text field for Program Summary Narrative (with CDA specific format).
- i. Capability to summarize (topics and dates) past case histories if a client that was served previously later requests additional services.
- j. Capability to produce "open" and "closed" case date status reports (how many cases remain opened in the month and how many cases were closed in the month) by PSA, HICAP Provider, or Counselor.
- o. Ability to generate mailing labels from individual client data and/or queries. For example, labels can be used for information mailers and client satisfaction surveys.
- q. Local Administrative Control Functionality - The Program Manager or their authorized representative will have the ability to authorize users and levels of permission.
- r. Capability to track multiple Counselors handling a single case. For example, if the original Counselor is out of the office, and a second Counselor took over the case, the system would track the newly assigned counselor transactions; or if husband-wife counseling team were used, ability to capture both counselor names.
- s. Create switchboard/menu screen to include one-touch button for generating standard reports. Standardized Reports should include:
 - i. Aggregated totals for all categories by PSA;
 - ii. Benchmark Status Year-To-Date by PSA;
 - iii. Ability to generate reports daily/monthly/quarterly/annually;
- t. Automatically assign client ID and case numbers.
- u. Ability to print Intake/Counseling Forms for data/information entry by hand.

2. Public and Media Form and Functionalities

- a. Capability of automatically transferring PAM data from HICAP database to federal NPR, meeting federal requirements by submitting the PAM Report in accordance with federal specifications. Capable of cross-walking CDA data (Form 265) to meet CMS specifications (OMB No. 0938-0850). Auto-routing happens after completion of form is approved by Program Manager and then approved by AAA. Data can be accumulated for a reporting period to allow one set of approvals (Manager and AAA) for all events completed in the reporting period (monthly/quarterly).
- b. Local Administrative Control Functionality - The Program Manager or their authorized representative will have the ability to authorize users and levels of permission.
- c. Include screen (GUI) identical to Public and Media Activity Form 265A (See Exhibit B) with consideration for formatting.
- d. Capable of storing data based on date of events, title of event, type of event.
- d. Ability to export data from database into Microsoft Excel and Word.
- e. Include ability to enter data to establish benchmark criteria.
- f. Ability to generate reports daily/monthly/quarterly/annually.
- g. Capability of generating standard reports by multiple PSAs, single PSAs, counties, and zip code areas.
- h. Include a switchboard/menu feature with capability of one-touch button standard reports/screens for basic performance reporting. Standard reports should include:
 - i. Aggregated totals for all categories by PSA.
 - ii. Benchmark status YTD by PSA.

3. HICAP Legal Form and Functionalities

- a. Ensure local HICAP Program Managers have approval authority over submission of HICAP Legal Services data.
- b. Local Administrative Control Functionality - The Program Manager or their authorized representative will have the ability to authorize users and levels of permission.
- c. Include screen (GUI) identical to HICAP Legal Services Report Form 266A (See Exhibit C), with consideration for formatting.
- d. Ability to export data into Microsoft Excel and Word
- e. Ability to generate reports daily/monthly/quarterly/annually.
- f. Include a switchboard/menu feature with capability of one-click button for standard reports for basic performance reporting. Standard reports should include:
 - i. Aggregated totals for all categories by PSA
 - ii. Aggregated totals for entire State by all categories

4. Counselor Registration/Information Form and Functionality

- a. Capability of automatically transferring NPR active counselor data from SHARP database to federal NPR semi-annual report meeting NPR requirements by submitting the Resource Report in accordance with federal specifications and by approval of the Program Manager. (Data of active counselor demographics and activities are based on registration form data, active counselor identification from intake modules, and activities from PAM modules.)
- b. Local Administrative Control Functionality - The Program Manager or their authorized representative will have the ability to authorize users and levels of permission. Ensuring Program Managers have approval authority for submission of Counselor specific data.
- c. Include screen (GUI) identical to CDA Form 1012 Counselor Registration/Information Form (See Exhibit D) with consideration for formatting. Include screen (GUI), or tabs, to enter other Counselor activities, such as:
 - i. Mileage for all activities

- ii. Time (timesheet that includes non-counseling activities)
- iii. All initial training and continuing education by subject titles, descriptions, and time invested by dates completed
- d. Include screen (GUI) identical to Counselor Exit Form (see Exhibit E), with consideration for formatting.
- e. Include screen (GUI) identical to Counselor Waiver Form (see Exhibit F), with consideration for formatting.
- f. Capability of providing an "MS Outlook" style counselor appointment calendar where either the Counselor can set appointments for themselves or program administrative staff can view counselor calendars and set appointments for them.
- g. Capability to store data by Counselor name, specific ID number
- h. Capability to permanently maintain Counselor records, to include those Counselors who have "resigned" from the program.
 - i. Capable to sort, search by all categories
 - j. Capability of tracking and documenting
 - k. Capability to collect Counselor data on non-counseling time separate from counseling time.
 - l. Ability to request and produce reports on a daily, monthly, quarterly, and annual basis.
- m. Ability to generate certificates for Active Counselors based on years of service (e.g., 5 yr., 10 yr., 15.yr., 20 yr., and 25 yr.) Template provided by CDA.
- n. Ability to identify and include in reports, Active Counselors versus Inactive (no counseling activities per reporting period), and de-registered Counselors (completed Exit form).
- o. Program Managers must be able to select a case narrative from Intake modules and input into the system for inclusion in the Federal Resource Report.
- p. Include a switchboard/menu feature with one-click button capable of generating standard reports for basic performance reporting. Standard reports should include:
 - i. NPR Semi-Annual Counselor Resource Report
 - ii. Total active counselors per 10K beneficiaries in PSA.
 - iii. Percentage of Counselors participating in Update Training(s).
 - iv. Capability to produce a "Counselor Activity Report" for active Counselors in a quarter.
 - v. Capability to produce a "Counselor Inactivity Report" for counselors who go longer than 30 days without any database activity.