REDACTED

Gainwell Technologies LLC
Response to

The State of Arizona for Arizona Health Care Cost Containment System (AHCCCS) Systems Integrator Services

Request for Quotation
Solicitation # YH23-0021

March 17, 2023
3:00 p.m., Arizona Time

Technical Response

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March 17, 2023

Arizona Health Care Cost Containment System
Procurement Office
Meggan LaPorte, Chief Procurement Officer
Procurement@azahcccs.gov

Dear Ms. LaPorte,

Gainwell Technologies LLC (Gainwell) is pleased to respond to the Arizona Health Care Cost Containment System (AHCCCS) Systems Integrator Services Request for Quotation # YH23-0021. We accept the State Terms and Conditions in this RFQ in addition to terms included in the State of Arizona Participation Addendum issued in conjunction with the NASPO Cloud Contract.

Gainwell is an independent, private company with a long history of providing Medicaid business process services. Our services and solutions support the delivery of vital public health and human services programs to the communities our customers serve. Today, we are a market leader recognized for service excellence coupled with unparalleled expertise and strong connections with our customers.

We believe *health* goes well beyond care. For more than 55 years our technology, services, and solutions have empowered agencies to transform the lives of those they serve. Our commitment to building stronger, healthier communities is steadfast, and we will bring this dedication and commitment to AHCCCS.

Gainwell understands AHCCCS is seeking a vendor to provide systems integration (SI) infrastructure, tools, and services to support Arizona's update of its Pre-Paid Medicaid Management Information System (MMIS). We are prepared to assist AHCCCS in providing modular system development and integration as a part of updating its MMIS, which is shared between Arizona and Hawaii (MedQuest Division or MQD). Our proven experience and success with state clients enables us to assist Arizona in realizing its goals for the replacement of current system modules and functionality, while avoiding service disruptions across AHCCCS.

Arizona's Medicaid recipients will benefit from Gainwell's decades of experience providing SI and integration services for Medicaid environments. We are highly qualified to successfully facilitate the secure exchange of data with other systems and applications. Gainwell has been involved with the integration of 65 modular solutions across the country in the past seven years, with an additional seven modular solution implementations in progress. We provide similar services in many states, including Kansas and Mississippi. A key differentiator for the Modular Medicaid SI is our deep domain expertise, as it involves the Medicaid business processes transformation. We bring unparalleled Medicaid expertise and the ability to work with other module vendors based on our 29 MMIS projects, connecting business partners and other state vendors to the systems necessary for successful operations. Gainwell brings an experienced team that has successfully implemented modular MES in other states, along with proven processes and best-in-class technology. We will collaborate with AHCCCS and other vendors, contractors, and suppliers to establish direct connections of our systems and tools to resolve problems requiring multiple vendors.

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As a Medicaid claims processer for many of our clients, AHCCCS can be certain that we understand the CMS-required business rules, general workflows, and other aspects of these efforts. Our understanding and knowledge provides assurance to AHCCCS that we will not allow our integration actions to disrupt the flow of claims through its system(s).

Our commitment to everything highlighted above, and in the interest of forging a successful implementation for the SI effort, Gainwell would like to provide the following as a part of our overall services in this RFQ response:

1. An Advisory Board comprising Gainwell's Medicaid Claims experts who can provide Medicaid servicing insights occurring across other states. The Advisory Board will collaborate with AHCCCS and our SI delivery team to achieve project success.
2. Quarterly "Top to Top" review meetings between Medicaid Director Carmen Heredia and myself. The purpose of the meetings is to "check in" to review performance, advise on other industry happenings, and inform Gainwell about the strategic needs of AHCCCS.
3. We are building an 'Innovation Counsel' consisting of Gainwell, Red Hat, and AWS (two of the technology partners that form the core of our SI solution) to keep our solution ahead of the technology curve to bring the best of the technology features to AHCCCS/MQD as soon as they are available.

We thank you for the opportunity to propose our approach for SI services to Arizona and are committed to our mutual success. If selected by Arizona to support this effort, we are prepared to serve AHCCCS on day one of the Contract from our offices located at:

5353 N. 16th Street
Phoenix, AZ 85016

If you have questions, please contact Richard Hamilton at rhamilton29@gainwelltechnologies.com or 760.445.5859.

Sincerely,

DocuSigned by:
Paul Saleh
C5B903FEA402401...

Paul Saleh
President and Chief Executive Officer

Request for Confidential/Proprietary Determination

7.1 If an Offeror believes that a specific portion of its bid, proposal, offer, specification, contains information that should be withheld from public inspection due to confidentiality, the Offeror shall submit to the Procurement officer a list of distinct portions, including exact page numbers, of their document is requested to be kept confidential, along with a detailed legal analysis, prepared by legal counsel, which sets forth the bases for the requested non-disclosure and the specific harm or prejudice which may arise if disclosed. The analysis shall be presented to the Procurement Officer at the same time as the bid, proposal, offer, or specification.

Gainwell identifies the following information as exempt from public disclosures under the designated exemptions listed in the table below:

Table 1. Confidential/Proprietary Determination

Proposal Document and Section #	Exemption Reason / Detailed Legal Analysis	Page #
6.3 Experience and Capacity of the Firm 6.3.1 – Specific Experience	This information should be afforded protection as a "Trade secret" under ARS 44-401 et seq. since it (a) derives independent economic value, actual or potential, from not being generally known to, and not being readily ascertainable by proper means by, other persons who can obtain economic value from its disclosure or use and (b) is the subject of efforts that are reasonable under the circumstances to maintain its secrecy. This section contains client confidential information which information is held in confidence by Contractor and not publicly disclosed; such information is information that Contractor and its clients protect by written obligations of confidentiality, is difficult for others to properly acquire or independently duplicate, and from which Contractor and its clients derive independent economic benefit by such information not being generally known to third parties; the public interest in withholding such information outweighs the public interest in disclosing such information.	Pages 3 – 4
6.3 Experience and Capacity of the Firm 6.3.2 – Employee Names 6.3.3 – Employee Names and Experience	This information should be afforded protection as a "Trade secret" under ARS 44-401 et seq. since it (a) derives independent economic value, actual or potential, from not being generally known to, and not being readily ascertainable by proper means by, other persons who can obtain economic value from its disclosure or use and	Page 4

Proposal Document and Section #	Exemption Reason / Detailed Legal Analysis	Page #
	(b) is the subject of efforts that are reasonable under the circumstances to maintain its secrecy. This section reveals the names and experience of the Key Staff that Gainwell will utilize in connection with the work identified in the proposal. The key staff members identified are critical to the success of the Gainwell solution, and because of the confidential and proprietary information that these key staff members know and bring to these projects, Gainwell does not reveal the identity of its key staff in its proposals, except under assurances of confidentiality. Disclosure of this information would give our competitors an undue economic advantage, because it would enable our competitors to potentially engage in unfair competitive practices and would cause substantial injury to the competitive position of Gainwell that would in turn cause substantial economic harm to Gainwell. Further, public disclosure of this information could subject the employees to nefarious activities.	
6.4 Methodology and Approach 6.4.1: • Gainwell's Integration Approach • Three-Wave Strategy for Successful Modernization • Project Management Methodology and Approach	The identified sections of 6.4 should be afforded protection as a "Trade secret" under ARS 44-401 et seq. since it (a) derives independent economic value, actual or potential, from not being generally known to, and not being readily ascertainable by proper means by, other persons who can obtain economic value from its disclosure or use and (b) is the subject of efforts that are reasonable under the circumstances to maintain its secrecy. The manner and timing of how Gainwell performs and builds its products is strategic business information which provides Gainwell a competitive advantage. Should others in the marketplace be provided this information, Gainwell would be commercially disadvantaged and also provide improper commercial / economic enrichment for Gainwell's competitors.	Pages 5 – 14 and 18 – 22 Please refer to "YH23-0021 Attachment 1 - Gainwell Requirements Matrix" for the redactions to Gainwell's response to Requirement 6.4.5
6.4 Methodology and Approach 6.4.2		
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6.2 Required Elements

6.2.2 Name and contact information of the person responsible for response to this solicitation.

Richard Hamilton, Senior Director – U.S. Sales, is responsible for Gainwell's response to this solicitation. Please contact him with questions about this RFQ .

Telephone: 760.445.5859 Email: rhamilton29@gainwelltechnologies.com
Address: 7040 Avenida Encinas, #104-102, Carlsbad, CA 92011

6.2.3 Include with submission, FedRAMP or StateRAMP authorization, HITRUST certification, or Security and Privacy assessment and SSA-E 18 assessment or equivalent if hosted outside of AHCCCS Azure tenancy

Gainwell provides auditable security certifications — Health Insurance Portability and Accountability Act (HIPAA) is certified within the Amazon Management Services (AMS)/Amazon Web Services (AWS)/Gainwell Cloud offering, payment card industry (PCI), System and Organization Controls (SOC2), Federal Risk and Authorization Management Program (FedRAMP) AMS. The AWS/Gainwell Cloud offering has a FedRAMP Authorization to Operate (ATO), Federal Information Processing Standards (FIPS), and Criminal Justice Information Services (CJIS) that support regulatory compliance and data sovereignty. Gainwell verifies that platforms and services meet International Organization for Standardization (ISO) 27001, European Union (EU) model clauses, HIPAA Business Associate Agreement (BAA), Federal Information Security Modernization Act (FISMA), and Family Educational Rights and Privacy Act (FERPA) requirements.

In addition to our certification and assurance strategy, we support client compliance and regulatory obligations by participating in client regulatory compliance programs for Sarbanes Oxley, HIPAA, Good X Practice (GxP), Gramm-Leach-Bliley Act (GLBA), and many others. Gainwell Technologies/AMS/AWS cloud environments have a FedRAMP ATO certification and support National Institute of Standards and Technology (NIST) 800-53 rev 5 Moderate/Minimum Acceptable Risk Standards for Exchanges (MARS-E), which also covers HIPAA. Security NIST Assessment or Security Risk Assessment (SRA) is performed by Gainwell or HMS, a Gainwell Company, annually against 800-53 Moderate control families. A SOC 1 Type II Financial Audit would be performed annually against 800-53 Moderate control families. As we deploy our SI solution and establish specific environments in the first seven months of the project for AHCCCS and MQD, we will submit deliverables meeting/exceeding each security requirement.

6.2.4 Proof of compliance with all the following requirements: "For solutions that will process, store, or transmit restricted or confidential data" HIPAA Privacy and Security – specifically CFR title 45 public Welfare, Parts 155.260 and 164 – Security and privacy. Arizona Security standards and policies set by ADOA / ASET

Gainwell is responsible for security in the Cloud. We provide auditable security certifications — HIPAA is certified within the AMS/AWS/Gainwell Cloud offering. Our Gainwell AWS/AMS cloud environments would inherit National Institute of Standards and Technology (NIST) 800-53 rev 5 Moderate, HIPAA Privacy and Security – specifically Code of Federal Regulations (CFR) Title 45 Public Welfare, parts 155.260 and 164, Security and Privacy, as well as MARS-E. Gainwell's Security Platform Architecture team builds out our clients' Virtual Private Clouds (VPCs) containers securely by deploying encryption within the VPC containers, on elastic compute clouds (EC2s), servers, databases, AWS Simple Storage

Service (S3) buckets, and uses server-side encryption. We follow the Open Web Application Security Project (OWASP) top 10 application security management, Tenable CIS 3.0, AWS Cloud best practices, and Gainwell's Minimal Baseline Security Notice of Decision. Gainwell processes and transmits restricted or confidential data by inheriting HIPAA Privacy and Security rules, as defined within CMS or CMS guidelines. We develop, maintain, and test an Incident Response Plan (IRP) using an approved scenario for internal teams on an annual basis following the NIST 800-53 rev 5 Moderate guidelines in line with the participating entity's security policies, procedures, and standards to comply with applicable federal and State breach notification laws. We develop a responsible, accountable, consulted, and informed (RACI) chart for event and security incident triage, analysis, containment, mitigation, response, and recovery.

6.2.5 Proof of compliance with all the following requirements: "For solutions that will process, store, or transmit data from the Federal Hub"

Gainwell's compliance to CMS standards begins by developing our systems consistent with federal statutes, guidelines, and industry standards to verify the security, privacy, and integrity of our systems, as well as client data that flows through them. Our compliance to the Privacy Act of 1974, the Computer Security Act of 1987, and the Federal Information Security Management Act of 2002 is met. Our compliance is defined by various rules and regulations proclaimed by health and human services, Department of Human Services (DHS), the Office of Management and Budget, and the NIST 800-53 rev 5 Moderate. Gainwell uses the CMS Hub that helps verify information used to determine eligibility for enrollment in qualified health plans and insurance affordability programs. Specific to the MARS-E security compliance with data transmission/ingestion from the Federal Hub, please see our response below.

6.2.6 HIPAA Privacy and Security – specifically CFR title 45 public Welfare, Parts 155.260 and 164 – Security and privacy. Arizona Security standards and policies set by ADOA / ASET All applicable ACA requirements and standards, including MARS-E

Gainwell, while utilizing our AWS Software-as-a-Service (SaaS) Cloud offering to support Arizona's SI needs, will adhere to HIPAA Privacy and Security – specifically CFR Title 45 Public Welfare, parts 155.260 and 164 – Security and Privacy. The Gainwell Account Security Officer (ASO) will be available to support the annual State-led MARS-E audit. If identified vulnerabilities are found during the MARS-E audit, they will be placed in a Plan of Actions and Milestones (POA&M), and we will participate in addressing the related critical deficiencies. Gainwell will address deficiencies within time frames mandated by CMS, and we agree to adhere to Arizona periodic update policy related to addressing identified security issues. We process and transmit restricted or confidential data by inheriting HIPAA Privacy and Security rules, as defined within CMS guidelines. MARS-E contains HIPAA Privacy and Security rules. Gainwell's solutions maintain compliance with the Harmonized Security and Privacy Framework, CMS-mandated in the MARS-E controls for exchanges. Our offering around MARS-E compliance includes the following:

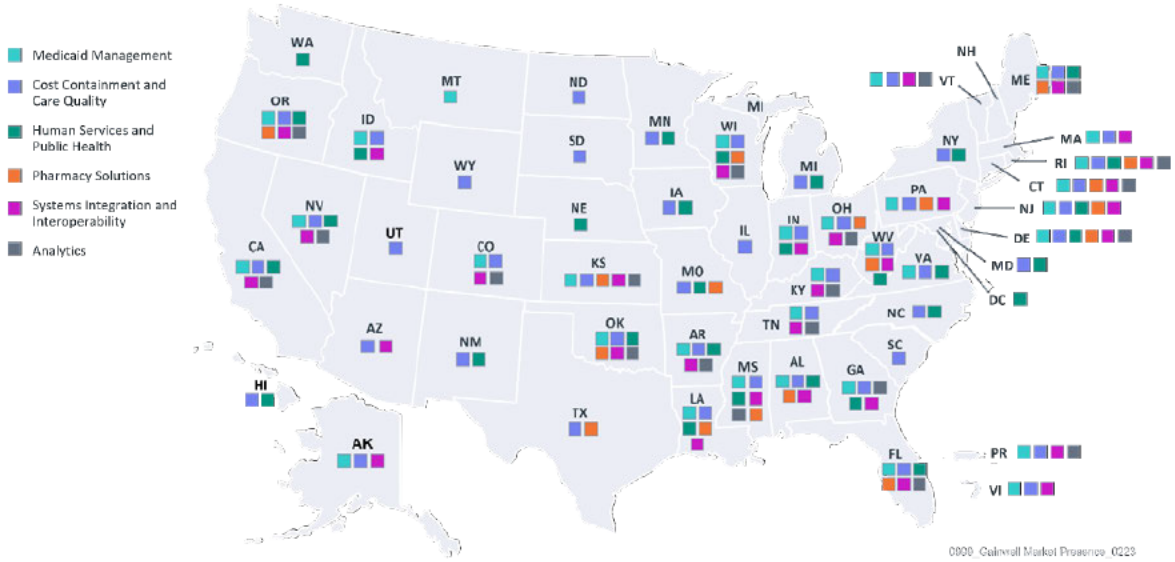
- Risk assessment, including a complete Security Assessment Report
- Gap analysis of the needed security and privacy controls
- Policy and process remediation
- Annual MARS-E package creation and submission
- Authorization to Connect (ATC) from CMS
- System boundary and data flow analysis and documentation, including system diagrams
- POA&M remediation and tracking across security and privacy areas, from operations to governance risk and compliance (GRC), to security architecture

6.3 Experience and Capacity of the Firm

6.3.1 Specific experience with this type of project.

[redacted]

Figure 1. Gainwell's Market Presence



[redacted]

[redacted]

6.3.2 List of names and classification of personnel expected to perform specific activities, including use of subcontractors

Gainwell has identified the following personnel for the roles listed below. Please see "YH23-0021 Supplemental Attachment - Gainwell Resumes_Organizational Chart" for their resumes. We will not be using subcontractors for this project.

- **SI Executive Account Director -** [redacted]
- **SI Project Manager -** [redacted]
- **SI Solution Architect -** [redacted]
- **SI Implementation/Integration Manager -** [redacted]
- **SI Testing Manager -** [redacted]
- **Operations Manager -** [redacted]

6.3.3 Experience of the proposed staff with this type of project

- **SI Executive Account Director -** [redacted]
- **SI Project Manager -** [redacted]
- **SI Solution Architect -** [redacted]
- **SI Implementation/Integration Manager -** [redacted]
- **SI Testing Manager -** [redacted]
- **Operations Manager -** [redacted]

6.4 Methodology and Approach

6.4.1 Proposed methodology and approach to fulfill the requirements of this project.

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In our 65 successful modular implementations and 7 additional in-progress module implementations, Gainwell has worked in a multi-modular set up since Modularity work began in 2015. Our team has collaborated with vendors implementing modules around the systems we maintain. This experience and knowledge was leveraged to build and design our modern and agile Systems Integration (SI) Platform, known as the Modular Intelligent Integration Platform, which we are proposing as the SI platform solution for AHCCCS and MQD.

Gainwell's Integration Approach

[redacted]

[redacted]

[redacted]

[redacted]

[redacted]

6.4.2 High level description of how the vendor will satisfy each of the requirements in the requirements matrix.

[redacted]

[redacted]

[redacted]

[redacted]

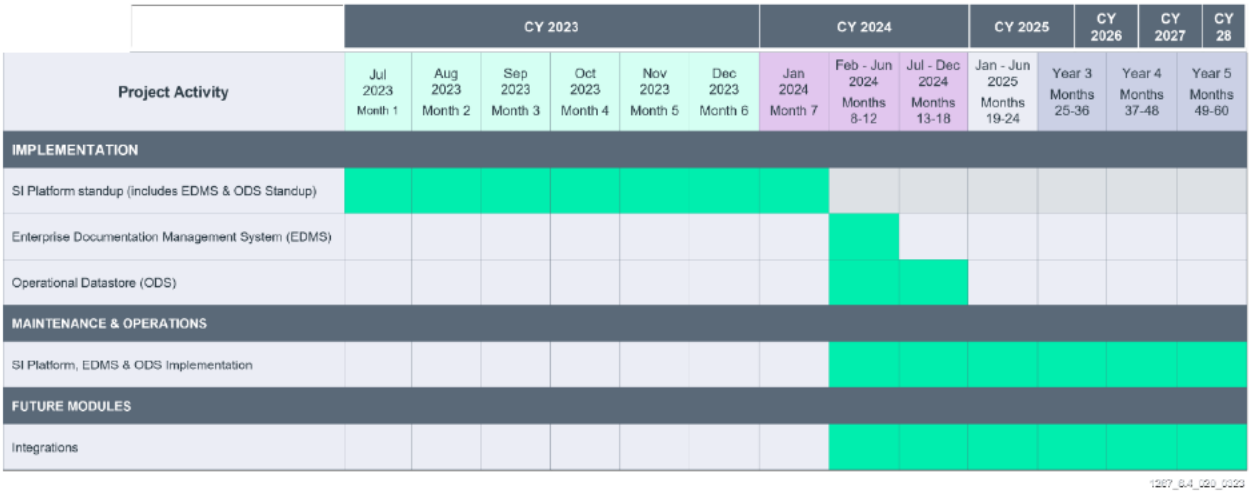
[redacted]

6.4.3 High level proposed timeline for completion of requirements.

Gainwell fully understands Arizona's SI requirements and project schedule. Our proposed high-level timeline supports the implementation and operations of the project.

The following figure depicts our estimated high-level project timeline.

Figure 8. High-level Proposed Timeline (Estimated)



High-level Timeline Details:

Arizona's Systems Integrator Services will be executed in two phases. It will constitute a seven-month true DDI phase, followed by a 53-month Maintenance and Operations Phase.

During the DDI phase, Gainwell will stand up the Cloud-based Systems Integration Platform within six (7) months of the commencement of the project. In addition to the SI platform, the Enterprise Documentation Management System (EDMS) and the Operational Datastore (ODS) components will also be stood up, but not yet connected to other systems. From Month 8, we will provide a small O&M team to support the SI platform.

From Month 8 (February 2024), the Gainwell DDI team will work on the requirements to implement the new EDMS solution for AHCCCS and plan to be complete by Month 13 (June 2024), transitioning the State from the existing Docuware system to the new EDMS platform built by Gainwell.

Concurrently, also from Month 8 (February 2024), the Gainwell team will work on the requirements to implement the Operational Datastore (ODS) solution for the State. This will include the AHCCCS Reporting/Extracts and TMSIS migration as well as MQD Reporting/Extracts and TMSIS migration. This activity will be completed by Month 18 (December 2024). From Month 19, Gainwell will provide a full O&M team to support the SI platform.

Gainwell assumes that the work to complete the platform stand up, EDMS full functionality for the State and ODS including migrating data into ODS and TMSIS functionality, is part of the DDI work.

To accelerate its published Modernization Roadmap vision, Arizona can decide to integrate one or two business functions/Modules (e.g., Hearings and Grievances, Case Management, integration with web portals, etc.) from Month 8 (February 2024) when the SI platform is available for connections with legacy and new modules. For business function/module integration, we plan to use the pool hours after

Month 7, based on AHCCCS's guidance. We believe one of the greatest values with our platform is that it enables you to begin integrations immediately by Month 7. AHCCCS's program success will depend on the SI platform's ability to chip away on these integrations one or two at a time once the SI platform is ready.

From Month 19 (January 2025), Gainwell's M&O team will take over the Maintenance and Operations responsibilities for the SI platform implemented, EDMS and ODS functionalities implemented, as well as any other business functions implemented at that time.

Gainwell will work with the Arizona to execute the module integrations per the State's determined roadmap. We commit to work with the State to make any necessary changes to the above timelines to prioritize the roadmap needs of Arizona and Hawaii.

High-level Activities performed:

The Implementation and Maintenance and Operations Phases of this program constitute the following high-level activities to deliver the requirements agreed upon with AHCCCS.

Implementation Phase:

- Share a detailed timeline of various activities performed in this phase
- Set up the environments
- Establish approach for delivering deliverables
- Agreement with the State personnel on deliverable content and schedule
- Approach for Module Integration Planning
- Create deliverables per requirements
- Prepare for the Operations and Maintenance phase

Maintenance and Operations Phase:

- Provide ongoing support for Production Issues and changes
- Perform system and application monitoring
- Deliver weekly/monthly Status Reports
- Scheduling of monthly SLA reviews

Standing up Environments

Gainwell will create the agreed-upon environments during the implementation phase as detailed below.

Table 4. Environments

Logical/Physical Environment	Purpose
Development/Unit Test	The environment is used to develop solutions for the State and perform unit testing on the functionality.
System Integration Testing (SIT)	The environment is used for testing the functionality with vendor modules.
User Acceptance Testing (UAT)	The environment is used for performing the User Acceptance testing by the State and its designated parties to verify the end-to-end functionality.
Training	The environment used to train business users on the newly developed functionality in a release.

Logical/Physical Environment	Purpose
Performance Test	The environment used for completing performance testing to verify the non-functional requirements of the State.
Pre-Production	The environment contains functionality fully tested and ready for production deployment.
Production	The environment is the primary source serving the users and services of the State.
Disaster Recovery (DR)	The environment used in a disaster situation when a primary Production instance goes down unexpectedly due to unforeseen circumstances, such as power outages, natural events, or security issues.

Environment Management

Gainwell will implement the latest version of code in each environment. Newly developed code is built in the Development/Unit testing environment and then promoted to the higher environment in the order below. Our timeline captures details related to these testing phases.

Figure 9. Progression of Testing

Our base platform has an automated Regression testing suite to baseline our testing initially and then expand the suite as we move forward with the new releases. Our automated regression suite performs verification in an environment, and we also capture the environment verification activity in the project timeline.

6.4.4 Solution Overview (Limit 5 pages) outlined in the Global Requirements (Requirements Matrix)

[redacted]

[redacted]

[redacted]

[redacted]

[redacted]

6.4.5 Completed Requirements Matrix

a) Technical Requirements for the SI
b) General Requirements for the SI
c) Global Requirements for the SI
d) Service Level Agreements
e) Deliverables

Please refer to "YH23-0021 Attachment 1 - Gainwell Requirements Matrix" for Gainwell's response to the "6.4.5 Completed Requirements Matrix," which also includes responses to the Key Personnel Tab.