Stage 3 Solution Development (Part A)

(Embedded PDF instructions describe how to attach files and/or insert repeating sections.)

3.4 General Information

Agency or State Entity Name:
Veterans Affairs, Department of
Organization Code:
8950
Proposal Name:
CalVet Electronic Health Record (CEHR)
Department of Technology Project Number: 8950-059

3.5 Part A Submittal Information

Contact Information:

Contact First Name:
Lisa

Contact Last Name:
Senitte

Contact Email:
Lisa.Senitte@CalVet.ca.gov

Contact Phone Number:
(916) 654-9524

Part A Submission Date:
11/21/2018

Part A Submission Type:

☒ New Submission
☐ Updated Submission (Pre-Approval)

☐ Updated Submission (Post-Approval)
☐ Withdraw Submission
    Reason: Select...
    If "Other," specify:

Part A Sections Updated (For Updated Submissions only, check all that apply)

☐ 3.4 General Information
☐ 3.5 Part A Submittal Information
☐ 3.6 Procurement Profile
    ☐ 3.6.1 Solicitation Identifier
    ☐ 3.6.2 Solicitation Method
    ☐ 3.6.3 Procurement Scope Statement
    ☐ 3.6.4 Solicitation Contact
    ☐ 3.6.5 Anticipated Length of Contract
    ☐ 3.6.6 Anticipated Solicitation Key Action Dates
☐ 3.7 Stage 3 Solution Requirements
    ☐ 3.7.1 Stage 3 Solution Requirements Template

☐ 3.7.2 Stage 3 Requirements Count
☐ 3.7.3 Stage 2 Mid-Level Solution Requirement Changes
☐ 3.7.4 To-Be Business Process Workflow
☐ 3.8 Statement of Work (SOW)
    ☐ 3.8.1 Completed SOW Sections
    ☐ 3.8.2 SOW Security Attributes
☐ 3.9 Proposed Procurement Planning and Development Dates
☐ 3.10 Procurement Risk Assessments and Dependencies
☐ 3.11 Procurement Administrative Compliance Checklist
☐ 3.12 Solicitation Readiness

Part A Summary of Changes:

Not applicable, this is a new submission.

Part A Project Approval Executive Transmittal

Attachment: (File Attachment)

Condition(s) from Previous Stage(s):

Condition #	1.1	
Condition Category	Governance	If "Other," specify:
Condition Sub-Category	General	If "Other," specify:
Condition	Provide an established data governance plan with well–defined roles and responsibilities prior to the approval of the S2AA.	
Assessment	Mitigation	If "Other," specify:
Agency/state Entity Response	Data governance plan is part of the CEHR Project Governance Plan.	
Status	Completed	If "Other," specify:
Condition #	1.2	
Condition Category	Governance	If "Other," specify:
Condition Sub-Category	General	If "Other," specify:
Condition	Provide formally defined, documented and implemented data security policies, standards, controls, and procedures prior to approval of the S2AA.	
Assessment	Mitigation	If "Other," specify:
Agency/state Entity Response	The items listed above were addressed as part of the California Office of Health Information Integrity (CalOHII) Corrective Action Plan (CAP). CalOHII reviewed the addressed items and has "closed" all observations and findings from the compliance review.	
Status	Completed	If "Other," specify:

Insert Condition

3.6 Procurement Profile

3.6.1 Solicitation Identifier

☒ Primary   ☐ Ancillary   ☐ No Procurement

Department of General Services (DGS) Delegated Purchasing Authority: ☒ Over   ☐ Under

Solicitation Title: CalVet Electronic Health Record (CEHR)

3.6.2 Solicitation Method

Solicitation Method	Formal Competitive Solicitation (IFB/RFP)	If "Other," specify:
Anticipated Amount	$5,800,000	
Conducted By	Department of Technology	If "Other," specify:
Development Status	In Progress	
Solicitation Number	18SS0521	

3.6.3 Procurement Scope Statement

LTC facilities, such as the ones run by CalVet, utilize EHR technology to support their core business processes and to enter and maintain clinical and financial workflow data. The primary purpose of this procurement is to select a qualified vendor to implement a Commercial off-the-shelf (COTS), Long Term Care (LTC) Electronic Healthcare Record (EHR) solution in a Software as a Service (SaaS) environment for all eight Veterans Homes and Sacramento Headquarters. The vendor will be required to migrate existing CalVet data into the solution and also provide training services on the solution to CalVet staff. The vendor will be responsible for supplying all required software licenses, maintenance, and support services required to successfully implement the solution. Once implemented the solution will meet CalVet's strategic business goal as stated in the Stage 1 Business Analysis of providing premier long term care with fiscal efficiencies and also the stated business objectives. The implemented solution will also align with the direction of CA Dept. of Technology and CalVet to use Cloud services whenever possible.

3.6.4 Solicitation Contact

Contact First Name:
Lisa

Contact Last Name:
Senitte

Contact Email:
Lisa.Senitte@CalVet.ca.gov

Contact Phone Number:
(916) 654-9524

3.6.5 Anticipated Length of Contract

Contract Start Date: 3/04/2019
Contract End Date: 9/30/2022
Optional Years:

    Contract Start Date:

    Contract End Date:

3.6.6 Anticipated Solicitation Key Action Dates

Activity   For all Anticipated Solictitation activities and Key Action Dates please see the attached CEHR Request For Proposal (RFP)

Start Date:

End Date:

Number of Business Days:

Insert Solicitation Key Action Date

3.6.1 Solicitation Identifier

☐ Primary   ☒ Ancillary   ☐ No Procurement

Department of General Services (DGS) Delegated Purchasing Authority: ☐ Over   ☒ Under

Solicitation Title: CEHR Independent Verification and Validation (IV&V) Services

3.6.2 Solicitation Method

Solicitation Method	Request for Offer/Master Service Agreement (RFO/MSA)	If "Other," specify:
Anticipated Amount	$391,200	
Conducted By	Agency/state entity	If "Other," specify:
Development Status	In Progress	
Solicitation Number	18HS0533	

3.6.3 Procurement Scope Statement

The primary purpose of this ancillary procurement is to select a qualified Independent Verification and Validation (IV&V) vendor to perform a third party quality assurance review (process and product) for the CalVet's CEHR Project. The vendor will be required to conduct assessments of the project and product on an on-going basis during the project phase.

3.6.4 Solicitation Contact

Contact First Name:
Lisa

Contact Last Name:
Senitte

Contact Email:
Lisa.Senitte@CalVet.ca.gov

Contact Phone Number:
(916) 654-9524

3.6.5 Anticipated Length of Contract

Contract Start Date: 3/04/2019
Contract End Date: 9/30/2020
Optional Years:

Contract Start Date:	
Contract End Date:	

3.7 Stage 3 Solution Requirements

3.7.1 Stage 3 Solution Requirements Template

Attachment: (File Attachment)

3.7.2 Stage 3 Requirements Count

Total Detailed Functional Requirements:	00676
Total Detailed Non-Functional Requirements:	00101
Total Detailed Project/Transition Requirements:	00000
Detailed Requirements Grand Total:	00777

3.7.3 Stage 2 Mid-Level Solution Requirement Changes

	Yes	No
1. Since approval of the Stage 2 Alternatives Analysis, has the Agency/state entity developed any new solution requirements that were not represented in the mid-level solution requirements?	☐	☒
2. Since approval of the Stage 2 Alternatives Analysis, has the Agency/state entity modified (changed or deleted) any mid-level solution requirements?	☒	☐

If question 1 or 2 above is "Yes":

Percentage of Change: 2 %

- Enter the percentage of change in the space provided
- Describe below the nature and scope of the change(s), impact(s) to the recommended solution, and how requirements align with the business objectives established in the Stage 1 Business Analysis:
  - Mid-Level Requirement ML.A.1 relating to Administrative Contract Provisions was removed as all associated detailed requirements were incorporated into the Statement Of Work (SOW)

3.7.4 To-Be Business Process Workflow

Attachment: (File Attachment)

If a to-be business process workflow is not attached, explain why below:

Insert Attachment

3.8 Statement of Work (SOW)

Attachment: (File Attachment)

Insert Attachment

3.8.1 Completed SOW Sections

Completed SOW Section: Select...

Insert Completed SOW Section

Completed SOW Section:	**14. Deliverable Acceptance/Rejection Process**
SOW Component Detail: (See SIMM Section 180 SOW Guidelines for specific information)	Details related to the procurement deliverable acceptance/rejection process. Please see attached SOW Section 15 for further details.
Responsible:	Both
Performance Deliverable:	☐
Requirement Number(s):	**SOW Section 15**

Methodology/Approach:	Agency/state entity model language used	If "Other," specify:
Solicitation Number: (If applicable)	N/A	

Completed SOW Section:	**15. Data Handling and Ownership**
SOW Component Detail:	Data handling and ownership details. Please see attached SOW Section 19 for further details.
Responsible:	Both
Performance Deliverable:	☒
Requirement Number(s):	**SOW Section 19; Deliverables D.2.2, D.2.6; Requirements T.1, T.2**
Methodology/Approach:	Dictated by regulations, law, or government code If "Other," specify:
Solicitation Number: (If applicable)	

Completed SOW Section:	**17. Security**
SOW Component Detail:	███████████████████████████████ ███████████████████████
Responsible:	███████
Performance Deliverable:	██
Requirement Number(s):	██████████████████████████
Methodology/Approach:	███████████████████ ██████████
Solicitation Number: (If applicable)	
SOW Component Detail:	███████████████████████████████████████
Responsible:	██
Performance Deliverable:	██
Requirement Number(s):	███████████████████████████
Methodology/Approach:	██████ ██████████
Solicitation Number: (If applicable)	
SOW Component Detail:	█████████████████
Responsible:	██
Performance Deliverable:	██
Requirement Number(s):	████████████████████
Methodology/Approach:	███████ ██████████
Solicitation Number: (If applicable)	

Completed SOW Section:	**18. Disaster Recovery**
SOW Component Detail:	Disaster recovery (including business continuity/technology recovery) details. Please see attached SOW Section 14 for further details.
Responsible:	Both
Performance Deliverable:	☒
Requirement Number(s):	SOW Section 14; Deliverable D.2.3
Methodology/Approach:	Dictated by policy If "Other," specify:

Solicitation Number: (If applicable)	
Completed SOW Section:	**20. Hardware and Software Needs**
SOW Component Detail:	N/A - procurement is for a COTS SaaS Solution
Responsible:	Select...
Performance Deliverable:	☐
Requirement Number(s):	
Methodology/Approach:	Select... If "Other," specify:
Solicitation Number: (If applicable)	
Completed SOW Section:	**23. System Installation**
SOW Component Detail:	N/A - procurement is for a COTS SaaS Solution
Responsible:	Select...
Performance Deliverable:	☐
Requirement Number(s):	
Methodology/Approach:	Select... If "Other," specify:
Solicitation Number: (If applicable)	
Completed SOW Section:	**24. System Implementation or Integration**
SOW Component Detail:	Solution implementation details. Please see attached SOW Section 14 for further details.
Responsible:	Both
Performance Deliverable:	☒
Requirement Number(s):	SOW Section 14
Methodology/Approach:	Select... If "Other," specify:
Solicitation Number: (If applicable)	
SOW Component Detail:	Solution integration details. Please see attached SOW Section 14 for further details.
Responsible:	Both
Performance Deliverable:	☒
Requirement Number(s):	SOW Section 14
Methodology/Approach:	Select... If "Other," specify:
Solicitation Number: (If applicable)	
Completed SOW Section:	**26. System Testing and Acceptance Procedures**
SOW Component Detail:	Details related to solution/testing and acceptance procedures. Please see attached SOW Section 14 and 15 for further details.
Responsible:	Both
Performance Deliverable:	☒
Requirement Number(s):	SOW Section 14 & 15
Methodology/Approach:	Agency/state entity model language used If "Other," specify:

Solicitation Number: (If applicable)	
Completed SOW Section:	**27. Transition of Operation to New Contractor or to State**
SOW Component Detail:	Details related to the transition of operations to new contractor or state. Please see attached SOW Section 14 for further details.
Responsible:	Both
Performance Deliverable:	☐
Requirement Number(s):	SOW Section 14; Deliverable D.2.12
Methodology/Approach:	Select... If "Other," specify:
Solicitation Number: (If applicable)	
Completed SOW Section:	**28. Knowledge Transfer and/or Training**
SOW Component Detail:	Knowledge transfer and/or training details. Please see attached SOW Section 14 and 16 for further details.
Responsible:	Both
Performance Deliverable:	☒
Requirement Number(s):	SOW Section 14; Deliverable D.2.10; SOW Section 16
Methodology/Approach:	Agency/state entity model language used If "Other," specify:
Solicitation Number: (If applicable)	
Completed SOW Section:	**29. Maintenance and Operations (M&O)**
SOW Component Detail:	Maintenance and operations details. Please see attached SOW Section 23 for further details.
Responsible:	Contractor
Performance Deliverable:	☒
Requirement Number(s):	**SOW Section 23**
Methodology/Approach:	Agency/state entity model language used If "Other," specify:
Solicitation Number: (If applicable)	
Completed SOW Section:	**32. Warranty**
SOW Component Detail:	Warranty details. Please see attached SOW Section 23 for further details.
Responsible:	Contractor
Performance Deliverable:	☒
Requirement Number(s):	**SOW Section 23**
Methodology/Approach:	Agency/state entity model language used If "Other," specify:
Solicitation Number: (If applicable)	
Completed SOW Section:	**33. Service Level Agreements (SLAs)**
SOW Component Detail:	SLA details. Please see attached SOW Section 25 and 26 for further details.
Responsible:	Contractor
Performance Deliverable:	☒
Requirement Number(s):	**SOW Section 25 & 26**

Methodology/Approach:	Agency/state entity model language used	If "Other," specify:
Solicitation Number: (If applicable)		
Completed SOW Section:	**34. Liquidated Damages**	
SOW Component Detail:	Provision for liquidated damages; calculation method; compensation proportionate to harm; tied to a contractual requirement; and dispute process. Please see attached SOW Section 24.	
Responsible:	Contractor	
Performance Deliverable:	☒	
Requirement Number(s):	SOW Section 24	
Methodology/Approach:	Agency/state entity model language used	If "Other," specify:
Solicitation Number: (If applicable)		

3.8.2 SOW Security Attributes	Yes	No
1. Does the SOW provide details on the information security and privacy controls that are required (based on the NIST 800-53 controls)?	☒	☐
2. Does the SOW define how the information security and privacy controls will be procured and implemented?	☒	☐
3. Does the SOW include provisions for creating the System Security Plan (SSP)?	☒	☐

3.9 Proposed Procurement Planning and Development Dates

Activity	Planning and Development Phase - SOW Development
Start Date	5/01/2018
End Date	7/31/2018
Number of Business Days	
Activity	Solicitation Development Phase
Start Date	5/01/2018
End Date	8/31/2018
Number of Business Days	
Activity	Solicitation Development Phase - Release Pre-Solicitation to Vendor Community
Start Date	8/31/2018
End Date	9/14/2018
Number of Business Days	
Activity	For Procurement Phase and Post Award Activities please see the attached CEHR Request For Proposal (RFP)
Start Date	Date Picker
End Date	Date Picker
Number of Business Days	

Insert Activity

3.10 Procurement Risk Assessments and Dependencies

	Yes	No	N/A

No.	Question	Yes	No	N/A
1.	Has the Agency/state entity identified procurement-related external dependencies (e.g., supplier viability, stakeholder/customer legal constraints, ancillary contracts, other state or federal legislation)? If "Yes," describe dependencies below:	☐	☒	
2.	Has the Agency/state entity completed the State Contracting Manual Volume 3, Chapter 4, Section 4.B2.13 Risk Criteria Guidelines and incorporated financial protection measures for the primary solicitation?	☒	☐	
3.	Does the Agency/state entity intend to maintain ownership of any source code developed for this solution? If "Yes," describe below how ownership will be obtained, maintained, and upgraded:	☐	☒	
4.	Will this transaction be financed? If "Yes," attach the approved State Financial Marketplace Compliance Certfication form and agreement below. Attachment: (File Attachment)	☐	☒	☐

3.11 Procurement Administrative Compliance Checklist

(Questions may not be all-inclusive)	Yes	No	N/A
1. Has the Agency/state entity obtained approval from Department of General Services Procurement Division (DGS/PD) or Statewide Technology Procurement Division (STPD) to use an alternative evaluation model other than a 50/50 cost split? If "Yes," attach approval below. Attachment: (File Attachment) If "Yes" or "No," below provide a brief description of the evaluation criteria proposed: **CalVet is using an alternative evaluation model.**	☒	☐	☐
2. Has the Agency/state entity received signed confidentiality statements from all project participants (internal and external)?	☒	☐	
3. Has the Agency/state entity received signed conflict of interest statements from all project participants (internal and external)?	☒	☐	
4. Has the Agency/state entity obtained an exemption from the Disabled Veteran Business Enterprise (DVBE) participation requirements and/or the DVBE participation incentive through an approved DVBE Waiver? If "Yes," attach the waiver below: Attachment: (File Attachment) If "No," provide a brief explanation below: DVBE participation is included in the RFP	☐	☒	☐
5. Does the Agency/state entity's solution requirements ensure compliance with the Information Technology Accessibility Policy (SAM Section 4833)?	☒	☐	
6. Has the Agency/state entity completed and received approval of the SIMM Section 71 Certification of Compliance with IT Policies? If "Yes," attach the approved certification below. Attachment: (File Attachment)	☒	☐	☐
7. Has the Agency/state entity completed and received approval of a personal services contracts justification (Government Code Section 19130)? If "Yes," attach the approved justification below. Attachment: (File Attachment)	☒	☐	☐
8. Will the Agency/state entity's solicitation ensure compliance with productive use requirements?	☒	☐	☐

3.12 Solicitation Readiness

	Yes	No	N/A
1. Has the Agency/state entity started development of a Bidder's Library?	☒	☐	☐

2. What evaluation methodology was selected for the primary solicitation?   Value Effective

   Explain the rationale for selection below:

   CEHR is evaluated based on a value-effective methodology where factors other than cost are of considerable value to CalVet.

3. Has the Agency/state entity started development of the evaluation (and selection) criteria for the primary solicitation?   ☒   ☐

4. Has the Agency/state entity started development of the cost worksheets as part of the evaluation for the solicitation?   ☒   ☐

5. Has the Agency/state entity started development of the bidder and key staff qualifications as part of the evaluation for the solicitation?   ☒   ☐   ☐

   If "N/A," briefly explain below why bidder and key staff qualifications will not be included in the evaluation for the solicitation:

6. Has the Agency/state entity started development of the bidder and key staff references as part of the evaluation for the solicitation?   ☒   ☐   ☐

   If "N/A," briefly explain below why bidder and key staff references will not be included in the evaluation for the solicitation:

Stage 3 Solution Development (Part A) – Department of Technology Use Only

Original "New Submission" Date	11/21/2018
Form Received Date	1/18/2019
Form Accepted Date	1/18/2019
Form Status	Completed
Form Status Date	1/18/2019