Exhibit A, Attachment 1
Statement of Work

The scope of the project includes all required software and hardware, integration services, implementation services, and up to three years of maintenance and operations of the solution. Pursuant to the terms of this agreement, Covered California shall own the solution and the Contractor shall perform maintenance and operations during the term of the agreement. Upon expiration or termination of the agreement, the Contractor shall transfer maintenance and operations of the solution to Covered California. This SOW lists all the functional and technical requirements for the solution. It is divided into the following sections:

1. Image capture and verification
2. User access
3. Reports
4. Implementation
5. Training
6. Maintenance and operations
7. Project management
8. Project staffing
9. Deliverables
10. Technical requirements
11. Consumer Portal

The Contractor is advised of two important defined terms: Consumers and Users. A Consumer is an applicant for or insured participant of Covered California and is external to the solution. A User is a State employee or consultant who has access to the back end solution.

Requirements are denoted as:

- Mandatory (M): The requirement is included in the scope of the base contract.
- Mandatory Optional (MO): The requirement is not included in the scope of the base contract but the price for such has been obtained during this procurement and may be exercised via change order.
- Optional (O): The requirement is not included in the scope of the base contract and may be exercised via a change order.

1 Image Capture and Verification

This section presents the requirements related to the functionality needed for image capture and verification.

#	Requirement	Type
1	The solution shall capture verification documents submitted by a Consumer via a desktop, mobile device or tablet.	M

Exhibit A, Attachment 1
Statement of Work

#	Requirement	Type
2	The solution shall capture multiple verification documents in a single Consumer session.	M
3	The solution shall determine if the captured verification document is acceptable. This includes checking for: a. Legibility b. Folded edges c. Incorrect orientation d. Incorrectly identified documents	M
4	The solution shall accept PDF verification documents captured by Covered California's existing Novitex solution.	M
5	The solution shall identify the type of verification document.	M
6	The solution shall index the type of verification document.	M
7	The solution shall classify the type of verification document according to classifications as defined by Covered California.	M
8	The solution shall have the ability for Covered California to add, change or delete a verification document classification type.	M

Exhibit A, Attachment 1
Statement of Work

#	Requirement	Type
9	Upon implementation, the solution shall catalog, parse and extract data from the top 25 document types including: a. Pay Stubs b. Resident Alien & Permanent Resident Card (I-551) c. Social Security Administration Statements (Social Security Benefits Letter) d. Federal Income Tax Form (1040, 1040NR, 1040A, 1040EZ, 1040X) e. Wages and tax statement (W-2) f. U.S. Passport / U.S Passport Card g. Tax statement 1099 h. Foreign Passport or identification issued by a foreign embassy or consulate i. Certificate of Naturalization (N-550, N-570) j. Application for Replacement Naturalization / Citizen Document (N-565) k. Self-Attestation (For income, non-Incarceration status, or loss of coverage) l. Unemployment Benefits Letter m. (Unemployment Insurance Pay Stub (EDD)) Social Security Card n. Employer statement for proof of income o. Profit and Loss Statement p. Birth Certificate q. Visa (American and Foreign r. Notice of Action (I-797) s. Alimony – Court Award Document t. Certificate of U.S. Citizenship (Form N-560 , Form N-561) u. Marriage certificate v. Registered Domestic Partnership certificate w. Birth certificate of the child x. Legal Guardianship substantiated by a Court Order y. Adoption/Placement for Adoption	M

Exhibit A, Attachment 1
Statement of Work

#	Requirement	Type
10	The solution shall extract 3-7 data elements per document type including but not limited to: a. First name b. Last name c. Date of birth d. Social Security number e. Income or benefit amount f. Pay frequency or period g. Tax year h. Alien card number i. Alien card expiration	M
11	The solution shall have the ability to add 10 forms per year and extract other data that Covered California adds in the future.	M
12	The solution shall conduct the following corrections when a verification document is captured: a. Image rotation b. De-skewing c. De-speckling d. Shadowing and brightness e. Cropping (automated removal of borders) f. Blank page detection and deletion g. Other filters and image correction as agreed upon	M
13	The solution shall link extracted data to the verification document.	M
14	The solution shall send uploaded verification documents to Covered California's enterprise content management solution (ECM).	
15	The solution shall save the image of uploaded verification documents and data extracted from a verification document until transferred to Covered California's Enterprise Content Management System (ECM) plus five (5) business days.	M
16	The solution shall resend uploaded verification documents to the ECM if not successfully uploaded.	M
17	The solution shall save the transaction of transferring image of uploaded verification documents and related meta data from verification documents for seven (7) years.	M

Exhibit A, Attachment 1
Statement of Work

#	Requirement	Type
18	The solution shall purge or destroy uploaded verification documents and data extracted from verification once transferred to Covered California's ECM, plus five business days. The method used for purge and deletion must comply with the Information Security Requirements and Standards of Covered California.	M
19	The solution shall provide Application Oriented OCR that allows for capturing rich information contained in color images such as Driver's Licenses, ID cards, invoices, screenshots and other types of images.	M
20	All imaging and workflow components shall meet Association for Information and Image Management and American National Standards Institute standards for imaging and workflow.	M
21	The solution system must support scanning resolution minimum of 200 dpi for verification documents and 300 dpi for data capture using OCR/ICR scan.	M
22	The solution must use non-proprietary digital image file format or provide a bridge to a non-proprietary digital image file format. All scanned data must be stored in a format that is accessible by any standard PDF,TIFF, JEG, and IMG viewer.	M

2 User Functionality

This section of requirements relates to User functions. In these requirements, User is defined as a State staff member who is accessing the solution to view, edit and/or delete images.

#	Requirement	Type
23	The solution shall have a web-based user and administrative interface.	M
24	The solution shall provide access and capacity for twenty-five (25) Users.	M
25	The solution shall be scalable to accommodate additional users and load.	M
26	The solution shall be United States Access Board Section 508(c)(3) compliant.	M
27	The solution shall maintain and present a history of data changes made to a verification document.	M

Exhibit A, Attachment 1
Statement of Work

#	Requirement	Type
28	The solution shall present a dashboard that shows business, operational and task data including, but not limited to: a. Workflow volume (e.g., number of verification documents scanned and extracted) b. Verification documents that were not matched and other errors c. Verification documents that were automatically matched	M

3 Reports

This section presents information on the reporting capabilities required by Covered California.

#	Requirement	Type
29	The Contractor shall provide all standard reports available in its solution to Covered California.	M
30	The Contractor shall create up to twenty (20) customized reports as requested by Covered California that are not part of its standard set of reports.	M
31	The solution shall allow all reports to be available on a daily, weekly, monthly, quarterly, biannual, and annual basis.	M
32	The solution shall report and audit document and workflow status.	M
33	The solution shall support the ability to abort a report and/or workflow at any time.	M
34	The solution shall automatically generate and email selected reports to a defined set of users.	M

Exhibit A, Attachment 1
Statement of Work

4 Implementation

This section contains requirement related to implementation of the solution.

#	Requirement	Type
35	The Contractor shall conduct implementation activities including but not limited to: a. Conduct an implementation kickoff with each main user group. b. Conduct requirements validation sessions. c. Conduct joint application design sessions. d. Plan and provide solution training and identify participants. e. Identify and create system users and capture information needed to create user accounts. f. Identify need for and install solution hardware and software. g. Establish connectivity with necessary vendors and systems. h. Design, develop and test the interface with CalHEERS. i. Design, develop and test the integration with Covered California's workflow solution. j. Design, develop and test the interface with Covered California's existing Novitex solution. k. User acceptance testing. l. Monitor and report progress on all implementation activities. m. Prepare and submit all associated deliverables. n. Provide all required staff to conduct the implementation. o. Prepare implementation materials (such as PowerPoint presentations, reference materials, user guides, etc.) to support implementation of the solution. p. Facilitate Go / No Go decision	M
36	The Contractor shall provide post go live support that includes troubleshooting, defect resolution, training and other services for 30 days after go live.	M

Exhibit A, Attachment 1
Statement of Work

5 Training

This section presents requirements related to initial and ongoing training of State users.

#	Requirement	Type
37	The Contractor shall prepare and conduct the following training: a. Training-for-trainers for up to fifteen (15) Covered California training personnel on using the solution, reports, reports development, and related end-user topics (up to 15) b. Training for up to ten (10) Covered California IT staff on routine maintenance, troubleshooting, and other technical related topics (up to 10)	M
38	The Contractor shall provide training: a. No less than 45 days prior to implementation (for training-for-trainers) b. No less than 25 days prior to implementation (for Covered California IT staff) c. At a State facility d. Between the hours of 9:00am-4:00pm	M
39	The Contractor shall supply all hardware, software, other equipment and materials required to conduct training.	M
40	The Contractor shall provide copies of all training materials for Covered California approval no less than 45 days prior to the start of training.	M
41	The Contractor shall provide hard copies and electronic copies of all training materials to Covered California.	M
42	The Contractor shall provide a hard copy of training materials to each trainee.	M
43	The Contractor shall update all training materials when a system change or upgrade is released.	M

Exhibit A, Attachment 1
Statement of Work

6 Maintenance and Operations

This section presents requirements related to the ongoing operation and support of the solution.

#	Requirement	Type
44	The Contractor shall maintain and operate the solution which includes: a. All ongoing full-time and part-time contractor staff assigned to conduct maintenance and operations. b. Ongoing document imaging and verification services. c. Ongoing operation, maintenance, and support of the solution and all equipment, software, and connectivity. d. Maintenance and renewal of all licenses. e. Upgrade to newest release of any software. f. Purchase, distribution, and maintenance of Contractor-owned telecommunication equipment and telecommunication lines. g. Update and delivery of all contractor deliverables. h. Any other contractor-provided services that are applicable during maintenance and operations.	M
45	The Contractor shall begin ongoing maintenance and operations 30 days after go live.	M
46	The Contractor shall provide up to three (3) years of ongoing maintenance and operations services.	M
47	The Contractor shall provide additional years of ongoing maintenance and operations services upon mutual agreement between Covered California and Contractor.	MO
48	The Contractor shall transition maintenance and operations to Covered California by the end of the Contractor's contract term.	M
49	The Contractor will provide maintenance and operations training to Covered California staff.	M
50	The Contractor shall ensure that all system documentation is current at the end of the contract term.	M

7 Project Management

This section presents requirements related to the Contractor's project management responsibilities throughout the life of the contract.

#	Requirement	Type
51	The Contractor shall manage the project in accordance with the processes described in its Project Management Plan.	M

Exhibit A, Attachment 1
Statement of Work

#	Requirement	Type
52	During implementation, the Contractor shall prepare and submit a weekly status report describing the week's activities no later than Tuesday of the following week.	M
53	The Contractor shall prepare and submit a monthly status report due no later than the tenth (10th) of the following month.	M
54	The Contractor shall prepare and submit an Implementation Workplan using Microsoft Project 2013.	M
55	The Contractor shall maintain and report weekly progress on the Implementation Workplan.	M
56	The Implementation Workplan shall be hosted by Covered California.	M
57	The Contractor shall participate in all formal and recurring project meetings or as requested by Covered California Project Director.	M
58	The Contractor shall attend formal project meetings onsite in Sacramento, California or, with prior State Project Director approval, via teleconference or videoconference.	M
59	The Contractor shall develop and deliver project-related presentations to Covered California executives and other State and federal stakeholders as requested by Covered California Project Director.	M
60	The Contractor shall use Covered California designated project repository to store, organize, and collaborate on project information documents and work products for the duration of the contract.	M

8 Project Staffing

This section presents requirements related to the project team required and the minimum qualifications for each position.

#	Requirement	Type
61	The contractor shall provide the following key staff: a. Project Manager b. Technical Lead c. Lead Business Analyst	M
62	The Contractor's key staff shall be available to Covered California during regular business hours, Monday through Friday from 8:00 a.m. to 5:00 p.m. Pacific Time.	M

Exhibit A, Attachment 1
Statement of Work

#	Requirement	Type
63	The Contractor's key staff shall complete and submit the Statement of Economic Interests (Form 700) annually to the Covered California Project Director or designee.	M
64	The Contractor's key staff shall complete the State's online Ethics Training Course, for State officials, at http://oag.ca.gov/ethics and submit the certificate of completion to the Covered California Project Director or designee every two (2) years.	M
65	The Project Manager shall have five (5) years of experience implementing and maintaining document imaging solutions that process over one million pages per year.	M
66	The Project Manager shall have a Project Management Professional (PMP) certification.	O
67	The Technical Lead shall have five (5) years of experience developing and implementing a document imaging solution with at least one year of experience incorporating with business process management software (e.g. Oracle BPM) and an existing scanning solution.	M
68	The Lead Business Analyst shall have three (3) years of experience gathering evaluating requirements, conducting gap analyses and preparing for business change on a document imaging project that processes over one million pages per year.	M

9 Deliverables

This section presents requirements on the deliverables that must be submitted and maintained during the project.

#	Requirement	Type
69	The Contractor shall prepare and submit the following deliverables: a. Project Management Plan b. Requirements Validation Document c. Detailed System Design d. Implementation Plan e. User Guide f. Security Plan g. Maintenance and Operations Plan h. Operations Transition Plan	M

Exhibit A, Attachment 1
Statement of Work

#	Requirement	Type
70	The Contractor shall prepare and submit a Deliverable Expectation Document (DED) that outlines and explains the intended content for each deliverable.	M
71	The Contractor shall submit the DED and deliverable in accordance with the dates specified in the Contractor's work plan.	M
72	The Contractor shall prepare and submit each deliverable in accordance with the approved DED.	M
73	The Contractor shall submit one editable electronic copy and one (1) PDF copy of each deliverable.	M
74	The Project Management Plan shall detail the following: a. Scope management b. Schedule management c. Communications management d. Contract and budget management e. Staffing management f. Quality management g. Risk and issue management including escalation levels h. Deliverable management i. Defect management	M
75	The Project Management Plan shall be updated to reflect any change in scope or operations.	M
76	The Requirements Validation Document shall present all non-functional, functional and technical requirements identified during the requirements validation process.	M
77	The Detailed System Design shall describe: a. Solution architecture b. User Interface c. Reports d. Interfaces e. Data dictionary and design f. Hardware and software specifications g. Licensing information h. Source code for customized software i. Requirements traceability	M
78	The Detailed System Design shall be updated whenever there is a change to the solution.	M

Exhibit A, Attachment 1
Statement of Work

#	Requirement	Type
79	The Implementation Plan shall describe how the Contractor will implement the solution including: a. Solution design and development b. Interfaces c. Testing including phases, staff requirements, software used, timeframes and how problems will be recorded d. Business process change management e. Training including methods, content, audience, timing, staffing, facility and equipment needs, and training samples f. System security and establishing access g. Implementation timeframes and checkpoints h. Post-implementation support before maintenance and operations	M
80	The User Guide shall describe: a. Solution functions and features b. Accessing reports c. Report details including name, purpose, grouping and sorting and data elements.	M
81	The User Guide shall be updated whenever there is a change to the solution.	M
82	The System Security Plan shall describe how the Contractor will implement the security and privacy controls described in the current version of the Minimum Acceptable Risk Standards for Exchanges (MARS-E).	M
83	The System Security Plan shall be updated at a minimum every three (3) years, to address current conditions or whenever: a. There are significant changes to the information system/environment of operation that affect security b. Problems are identified during plan implementation or security control assessments c. When the data sensitivity level increases d. After a serious security violation due to changes in the threat environment	M

Exhibit A, Attachment 1
Statement of Work

#	Requirement	Type
84	The Maintenance and Operations Plan shall describe: a. How the solution software and hardware will be maintained b. Problem and defect management c. Help desk support d. Configuration and release management e. Business continuity and disaster recovery procedures f. Ongoing staffing g. Ongoing project management h. Ongoing system documentation and deliverable management	M
85	The Maintenance and Operations Plan shall be updated when there is a change to the solution.	M
86	The Operations Transition Plan, due nine months prior to the end of the contract term, shall describe how the Contractor intends to transition its maintenance and operations of the document verification solution to Covered California and includes: a. How ownership and responsibility of the solution shall be formally transferred to Covered California b. Knowledge transfer activities that the contractor shall create to transfer system knowledge to the state technical and help desk staff for understanding, in operating, and in maintaining the solution c. How equipment, configurations, software, and data stores shall be transitioned into Covered California's production environment. d. Processes for documenting and approving contingency plans for all significant risks. e. Processes and outputs for an orderly closeout of the Contract including: i. Archiving project materials ii. Transfer of business processes iii. Transfer of all tools and licenses and/or related data needed to maintain the solution iv. Delivery of current system and supporting documentation	M

10 Technical Requirements

This section presents the technical requirements related to the solution.

#	Requirement	Type
87	The Contractor shall supply all software, other equipment, and licenses required for the solution.	M

Exhibit A, Attachment 1
Statement of Work

#	Requirement	Type
88	The system shall have a modular architecture to support increased reliability and future enhancements.	M
89	The solution shall be available in a browser-based environment.	M
90	The solution shall be based on a service oriented architecture.	M
91	The solution shall support, including but not limited to the following browsers: a. Internet Explorer b. Firefox c. Chrome d. Safari e. Edge	M
92	The solution shall store all the master data and the transaction data in a Relational Database Management System (RDBMS).	M
93	The solution shall use open standards, including: a. XML b. SOAP/WSDL c. CMIS d. WS-I Basic Profile 2.0 e. WS-Security	M
94	The Contractor's solution shall be hosted by Covered California.	M
95	The Contractor shall coordinate with Covered California and OTech to prepare for and install necessary equipment.	M
96	Upon request from Covered California, the Contractor will host its solution.	O
97	The Contractor shall notify Covered California of any publicly available open source or third-party software to be used as a component of its solution.	M
98	The Contractor shall procure and manage the licenses for all third-party software components and renew them as needed throughout the term of the Contract. Upon expiration or termination of this agreement the Contractor shall transfer to Covered California any and all licenses for third party software components used in the solution.	M

Exhibit A, Attachment 1
Statement of Work

#	Requirement	Type
99	The Contractor shall notify Covered California if there is no commercially available maintenance support for any third-party software component.	M
100	The solution shall provide real-time access to system job and maintenance schedules, submission and processing statistics, and system performance tools for authorized users.	M
101	The solution shall display data using consistent formats with respect to: color, layout, font, menus, navigation, graphics, and location information.	M
102	The Contractor shall provide the solution environments including: a. Development b. Test c. UAT	M
103	The Development, Test, and Production solution environments shall comply with MARS-E security controls.	M
104	The Contractor shall design, manage, and monitor the capacity of the solution at a minimum for: a. Processing and storing two (2) million images per year b. Supporting 25 users	M
105	The Contractor shall conduct capacity management of the solution by measuring the system performance, growth, and projected increase of use through the term of the contract.	M
106	The solution shall offer role-based user access and security.	M
107	The solution shall provide the security of the system and data by utilizing the following fundamental security elements: a. Multi Zone Security Architecture b. User ID and Password-based Authentication c. Role Based Access Control (RBAC)	M
108	The solution shall provide a data encryption mechanism for sensitive data in transit and at rest.	M
109	The solution shall utilize Public Key Infrastructure (PKI) components and standards, where needed.	M

Exhibit A, Attachment 1
Statement of Work

#	Requirement	Type
110	The solution shall provide Credential and Access Management (CAM) services with the following functionalities: a. Authentication: Enabling User ID and Password based authentication, password policies, and automatic password expiration policies. b. Authorization: Users will be assigned roles to ensure that they have access to business functions and data that is needed to get the job done and nothing more (least privilege).	M
111	The solution shall provide the capability to generate alerts for conditions that violate security rules, including at a minimum: a. Unauthorized access attempts on data and System function b. Login attempts that exceed the maximum allowed c. Termination of authorized sessions after a specified time of no activity	M
112	The solution shall provide security incident reporting and mitigation mechanisms, including at a minimum: a. Generate warning or report on System activity based on security parameters b. Terminate access and/or generate report when potential security violation detected c. Preserve and report specified audit data when potential security violation detected	M
113	The solution shall automatically prompt a user to change his/her password after a configurable, defined period has passed.	M
114	The solution shall provide the ability to disable user IDs for a configurable time frame after a configurable number of consecutive invalid login attempts.	M
115	The solution shall provide the capability to time-out web portal users after a configurable period of inactivity.	M
116	The solution shall provide the capability to encrypt passwords when they are routed over the network.	M
117	The solution shall ensure the integrity and confidentiality of data is protected by safeguards to prevent release of information without proper consent.	M

Exhibit A, Attachment 1
Statement of Work

#	Requirement	Type
118	The solution shall provide secure access control based upon single unique user login.	M
119	The solution shall provide secure unique identifiers for each user.	M
120	The solution shall perform secure checks on each user's access privileges at login, and automatically disables or enables user functions, in real time, based upon the user's role and access privilege.	M
121	The solution shall utilize appropriate security architecture and control to address various security attacks, including at a minimum: a. Spoofing b. Tampering c. Repudiation d. Information disclosure e. Denial of service f. Elevation of privilege	M
122	The solution shall comply with State of California and Covered California Information Security Officer's (ISO) policy required actions in response to a breach, including at a minimum: a. Reporting timeframes b. Reporting party c. Research and investigation activities d. Mitigation of the circumstances that resulted in the breach	M
123	The solution shall perform annual auditing to track and monitor access and modification to all sensitive and business critical data.	M
124	The solution shall use secured coding practices that comply with the following standards: a. NIST SP 800-64, Security Considerations in the System Development Life Cycle b. FIPS 140 c. MARS-E	M
125	The solution shall allow system administrators to view, filter, sort, and search the error log.	M
126	The solution shall log events and errors to an error log.	M

Exhibit A, Attachment 1
Statement of Work

#	Requirement	Type
127	The solution shall be operational 24 hours per day, seven (7) days per week, except during approved scheduled down time.	M
128	The Contractor shall perform required system maintenance at a time agreed to by Covered California.	M
129	The Contractor shall provide a Tier 2 Help Desk that is available to accept calls between the hours of 8:00 AM and 8:00 PM Monday through Saturday Pacific time.	M
130	When changes are made to the System, the Contractor shall perform full system testing prior to installing the change into Covered California environment.	M
131	The Contractor shall install solution changes into Covered California test environment prior to installing the change into the production environment.	M
132	The Contractor shall provide test results for all system changes prior to installing the change into Covered California test environment.	M
133	For each release, Contractor shall provide system release notes that describe the release contents.	M
134	For major releases, Contractor shall facilitate a production release walkthrough that provides an overview of the release contents, schedule, impact to Project resources, training, documentation, and RTM updates.	M
135	The solution shall interface through a Web service API with: a. CalHEERS b. Oracle BPM	M
136	The Contractor shall develop and implement a batch interface that allows it to send and received batch files on a daily basis.	M
137	The Contractor shall develop and implement a real-time web service interface.	M
138	The Contractor shall facilitate and document interface joint application design sessions with interface partners.	M
139	The system will support html and plain text branding of all email communications to consumers and state users.	M
140	The system will support the creation of html and plain text branding templates for use will all email communications to consumers and state users.	M

Exhibit A, Attachment 1
Statement of Work

#	Requirement	Type
141	The system will provide a web-based mechanism for authorized system administrators to apply email branding templates to email communications from the system.	M
142	The solution shall house business rules to be jointly developed by Covered California and the Contractor.	M
143	The solution will use business rules to conduct automatic data validation including but not limited to that the data extracted satisfies the verification need.	M

11 Consumer Upload Page

This section presents the technical requirements related to an upload page that will allow consumers to submit verification documents using a mobile device, desktop or tablet.

#	Requirement	Type
144	The Contractor shall develop and implement an upload page and/or application to allow verification documents to be submitted via a desktop, mobile device, or tablet.	MO
145	The solution shall determine if an uploaded verification document image is acceptable and provide the following type of return messages to the Consumer: a. If the image is not acceptable and cannot be read. b. If the image is acceptable and can be read.	MO
146	The solution shall allow a Consumer to re-capture a verification document image.	MO
147	The solution shall display the captured image for the Consumer.	MO
148	The solution shall obtain validation from the Consumer or User that the captured image may be saved.	MO
149	The solution shall have capability to pre-populate consumer and Covered California user screens, with the relevant information already existing in the system.	MO
150	The solution shall support mandatory input fields on the consumer and Covered California user interface screens.	MO
151	The solution shall support on-screen notification of, at a minimum, data saves, data validation errors, mandatory fields.	MO

Exhibit A, Attachment 1
Statement of Work

#	Requirement	Type
152	The solution shall allow navigation between multiple, related input screens without losing information input from any previous screens.	MO
153	The solution shall provide web-based access to users that requires no desktop software to be installed and configured except HTML 5 capable browsers.	MO
154	The solution shall communicate errors to the end user in plain language with an explanation of required action.	MO
155	The solution shall provide a message to a consumer if a request is being processed and takes longer than five (5) seconds for the requests submitted through a web portal.	MO