FINAL BID RESPONSE PACKET

NOTE: Updates to this final Bid Response Packet are designated by red font.

710-20-0005

BID SIGNATURE PAGE

Type or Print the following information.

PROSPECTIVE CONTRACTOR'S INFORMATION					
Company:	PlanIT Group LLC				
Address:	7845 Colony Road, Suite C4-145				
City:	Charlotte	State:	NC	Zip Code:	28226
Business Designation:	☐ Individual ☒ Partnership	☐ Sole Proprietorship ☐ Corporation		☐ Public Service Corp ☐ Nonprofit	
Minority and Women-Owned Designation*:	☒ Not Applicable ☐ African American	☐ American Indian ☐ Hispanic American	☐ Asian American ☐ Pacific Islander American	☐ Service Disabled Veteran ☐ Women-Owned	
	AR Certification #: _____		* See *Minority and Women-Owned Business Policy*		

PROSPECTIVE CONTRACTOR CONTACT INFORMATION			
Provide contact information to be used for bid solicitation related matters.			
Contact Person:	Doug Mitchell	Title:	EVP, State, Local & Civilian
Phone:	404-310-1763	Alternate Phone:	704-243-9700
Email:	dmitchell@planitgroup.com		

CONFIRMATION OF REDACTED COPY

☐ YES, a redacted copy of submission documents is enclosed.

☒ NO, a redacted copy of submission documents is <u>not</u> enclosed. I understand a full copy of non-redacted submission documents will be released if requested.

Note: If a redacted copy of the submission documents is not provided with Prospective Contractor's response packet, and neither box is checked, a copy of the non-redacted documents, with the exception of financial data (other than pricing), will be released in response to any request made under the Arkansas Freedom of Information Act (FOIA). See Bid Solicitation for additional information.

ILLEGAL IMMIGRANT CONFIRMATION

By signing and submitting a response to this *Bid Solicitation*, a Prospective Contractor agrees and certifies that they do not employ or contract with illegal immigrants. If selected, the Prospective Contractor certifies that they will not employ or contract with illegal immigrants during the aggregate term of a contract.

ISRAEL BOYCOTT RESTRICTION CONFIRMATION

By checking the box below, a Prospective Contractor agrees and certifies that they do not boycott Israel, and if selected, will not boycott Israel during the aggregate term of the contract.

☒ Prospective Contractor does not and will not boycott Israel.

An official authorized to bind the Prospective Contractor to a resultant contract must sign below.

The signature below signifies agreement that any exception that conflicts with a Requirement of this *Bid Solicitation* **will cause the Prospective Contractor's bid to be disqualified:**

Authorized Signature:	*Use Ink Only.*	**Title:**	Chief Administrative Officer
Printed/Typed Name:	Thomas P. Hoshko	**Date:**	11/21/2019

SECTION 1 - VENDOR AGREEMENT AND COMPLIANCE

- *Any requested exceptions to items in this section which are <u>NON-mandatory</u> **must** be declared below or as an attachment to this page. Vendor **must** clearly explain the requested exception, and should label the request to reference the specific solicitation item number to which the exception applies.*

- *Exceptions to Requirements **shall** cause the vendor's proposal to be disqualified.*

By signature below, vendor agrees to and **shall** fully comply with all Requirements as shown in this section of the bid solicitation.

Vendor Name:	PlanIT Group LLC	Date:	11/21/2019
Signature:		Title:	Chief Administrative Officer
Printed Name:	Thomas P. Hoshko		

SECTION 2 - VENDOR AGREEMENT AND COMPLIANCE

- *Any requested exceptions to items in this section which are <u>NON-mandatory</u> **must** be declared below or as an attachment to this page. Vendor **must** clearly explain the requested exception, and should label the request to reference the specific solicitation item number to which the exception applies.*

- *Exceptions to Requirements **shall** cause the vendor's proposal to be disqualified.*

By signature below, vendor agrees to and **shall** fully comply with all Requirements as shown in this section of the bid solicitation.

Vendor Name:	PlanIT Group LLC	Date:	11/21/2019
Signature:		Title:	Chief Administrative Officer
Printed Name:	Thomas P. Hoshko		

SECTION 3 - VENDOR AGREEMENT AND COMPLIANCE

- *Exceptions to Requirements **shall** cause the vendor's proposal to be disqualified.*

By signature below, vendor agrees to and **shall** fully comply with all Requirements as shown in this section of the bid solicitation.

Vendor Name:	PlanIT Group LLC	**Date:**	11/21/2019
Signature:		**Title:**	Chief Administrative Officer
Printed Name:	Thomas P. Hoshko		

SECTION 4 - VENDOR AGREEMENT AND COMPLIANCE

- *Exceptions to Requirements **shall** cause the vendor's proposal to be disqualified.*

By signature below, vendor agrees to and **shall** fully comply with all Requirements as shown in this section of the bid solicitation.

Vendor Name:	PlanIT Group LLC	Date:	11/21/2019
Signature:		Title:	Chief Administrative Officer
Printed Name:	Thomas P. Hoshko		

PROPOSED SUBCONTRACTORS FORM

- **Do not** *include additional information relating to subcontractors on this form or as an attachment to this form.*

PROSPECTIVE CONTRACTOR PROPOSES TO USE THE FOLLOWING SUBCONTRACTOR(S) TO PROVIDE SERVICES.

Type or Print the following information

Subcontractor's Company Name	Street Address	City, State, ZIP

☒ PROSPECTIVE CONTRACTOR DOES **NOT** PROPOSE TO USE SUBCONTRACTORS TO PERFORM SERVICES.

By signature below, vendor agrees to and **shall** fully comply with all Requirements related to subcontractors as shown in the bid solicitation.

Vendor Name:	PlanIT Group LLC	Date:	11/21/2019
Signature:	*[signature]*	Title:	Chief Administrative Officer
Printed Name:	Thomas P. Hoshko		

Contract Number	Bid: 710-20-0005
Attachment Number	
Action Number	

CONTRACT AND GRANT DISCLOSURE AND CERTIFICATION FORM

Failure to complete all of the following information may result in a delay in obtaining a contract, lease, purchase agreement, or grant award with any Arkansas State Agency.

SUBCONTRACTOR: ☐ **Yes** ☑ **No**   **SUBCONTRACTOR NAME:** PlanIT Group LLC

TAXPAYER ID NAME: PlanIT Group LLC

IS THIS FOR:
Goods? ☐ **Services?** ☑ **Both?** ☐

YOUR LAST NAME: Hoshko   **FIRST NAME** Thomas   **M.I.:** P

ADDRESS: 7845 Colony Road, #C4-145

CITY: Charlotte   **STATE:** NC   **ZIP CODE:** 28226   **COUNTRY:** USA

AS A CONDITION OF OBTAINING, EXTENDING, AMENDING, OR RENEWING A CONTRACT, LEASE, PURCHASE AGREEMENT, OR GRANT AWARD WITH ANY ARKANSAS STATE AGENCY, THE FOLLOWING INFORMATION MUST BE DISCLOSED:

FOR INDIVIDUALS*

Indicate below if: you, your spouse or the brother, sister, parent, or child of you or your spouse *is* a current or former: member of the General Assembly, Constitutional Officer, State Board or Commission Member, or State Employee:

Position Held	Mark (√)		Name of Position of Job Held [senator, representative, name of board/ commission, data entry, etc.]	For How Long?		What is the person(s) name and how are they related to you? [i.e., Jane Q. Public, spouse, John Q. Public, Jr., child, etc.]	
	Current	Former		From MM/YY	To MM/YY	Person's Name(s)	Relation
General Assembly							
Constitutional Officer							
State Board or Commission Member							
State Employee							

☐ **None of the above applies**

FOR AN ENTITY (BUSINESS)*

Indicate below if any of the following persons, current or former, hold any position of control or hold any ownership interest of 10% or greater in the entity: member of the General Assembly, Constitutional Officer, State Board or Commission Member, State Employee, or the spouse, brother, sister, parent, or child of a member of the General Assembly, Constitutional Officer, State Board or Commission Member, or State Employee. Position of control means the power to direct the purchasing policies or influence the management of the entity.

Position Held	Mark (√)		Name of Position of Job Held [senator, representative, name of board/commission, data entry, etc.]	For How Long?		What is the person(s) name and what is his/her % of ownership interest and/or what is his/her position of control?		
	Current	Former		From MM/YY	To MM/YY	Person's Name(s)	Ownership Interest (%)	Position of Control
General Assembly								
Constitutional Officer								
State Board or Commission Member								
State Employee								

☑ **None of the above applies**

DHS Revision 11/05/2014

Contract and Grant Disclosure and Certification Form

Failure to make any disclosure required by Governor's Executive Order 98-04, or any violation of any rule, regulation, or policy adopted pursuant to that Order, shall be a material breach of the terms of this contract. Any contractor, whether an individual or entity, who fails to make the required disclosure or who violates any rule, regulation, or policy shall be subject to all legal remedies available to the agency.

As an additional condition of obtaining, extending, amending, or renewing a contract with a *state agency* I agree as follows:

1. Prior to entering into any agreement with any subcontractor, prior or subsequent to the contract date, I will require the subcontractor to complete a **CONTRACT AND GRANT DISCLOSURE AND CERTIFICATION FORM**. Subcontractor shall mean any person or entity with whom I enter an agreement whereby I assign or otherwise delegate to the person or entity, for consideration, all, or any part, of the performance required of me under the terms of my contract with the state agency.

2. I will include the following language as a part of any agreement with a subcontractor:

   Failure to make any disclosure required by Governor's Executive Order 98-04, or any violation of any rule, regulation, or policy adopted pursuant to that Order, shall be a material breach of the terms of this subcontract. The party who fails to make the required disclosure or who violates any rule, regulation, or policy shall be subject to all legal remedies available to the contractor.

3. No later than ten (10) days after entering into any agreement with a subcontractor, whether prior or subsequent to the contract date, I will mail a copy of the **CONTRACT AND GRANT DISCLOSURE AND CERTIFICATION FORM** completed by the subcontractor and a statement containing the dollar amount of the subcontract to the state agency.

I certify under penalty of perjury, to the best of my knowledge and belief, all of the above information is true and correct and that I agree to the subcontractor disclosure conditions stated herein.

Signature _Thomas P Hoshko:A010980000001480DCF367F00009548_
Digitally signed by Thomas P Hoshko:A010980000001480DCF367F00009548
DN: cn=Thomas P Hoshko:A010980000001480DCF367F00009548, c=US, o=U.S. Government, ou=PLANIT GROUP LLC, email=tphoshko@planitgroup.com
Date: 2019.11.20 16:36:36 -05'00'

Title __Chief Administrative Officer__   Date __11/21/2019__

Vendor Contact Person __Doug Mitchell__   Title __EVP, State, Local & Civilian__   Phone No. __(404) 310-1763__

Agency use only

Agency Number __0710__   Agency Name __Department of Human Services__   Agency Contact Person _____   Contact Phone No. _____   Contract or Grant No. _____

REAFFIRMATION OF AFFIRMATIVE ACTION POLICY STATEMENT

The Company reaffirms its belief and commitment in equal employment opportunity for all employees and applicants for employment in all terms and conditions of employment.

The Company has developed and maintained a written Affirmative Action Program (AAP). The company's Chief Executive Officer supports the affirmative action program and urges each employee to commit to carrying out the intent of this policy. The EEO Administrator oversees the affirmative action plan development, modification, implementation, effectiveness, reporting requirements and conducts management updates. The Company invites any employee to review the Company's written Affirmative Action Plan. This plan is available for inspection upon request during normal business hours at the Human Resources office.

As part of the Company's commitment to this overall process, it will seek to ensure that all aspects of employment, including recruitment, selection, job assignment, training, compensation, benefits, discipline, promotion, transfer, layoff and termination processes remain free of illegal discrimination based upon race, color, religion, sex and national origin, disability (as defined under Section 503 of the Rehabilitation Act of 1973) or protected veteran status (as defined under Vietnam Era Veterans' Readjustment Assistance Act of 1974). Company ensures that all employment decisions are based only on valid job requirements. Regular review helps to ensure compliance with this policy.

The Company will ensure that employees and applicants shall not be subjected to harassment due to their status described above, or any harassment, intimidation, threats, coercion or discrimination because they have engaged in or may engage in any of the following activities; (1) filing a complaint with the Company or with federal, state, or local agencies regarding status covered under this AAP, (2) assisting or participating in any investigation, compliance review, hearing, or any other activity related to the administration of any federal, state, or local equal employment opportunity or affirmative action statute pertaining to the status covered under this AAP; (3) opposing any act or practice made unlawful by section 503 and/or VEVRAA, and (4) exercising any other right protected by section 503 and/or VEVRAA or its implementing regulations in this part.

Code of Business Ethics and Conduct Policy: For Employees

Applicability

PLANIT Group's Code of Business Ethics and Conduct ("The Code") applies to all employees. As we do business with the Federal Government, we have an obligation to comply with Federal regulations and compliance requirements related to Business Ethics and Conduct.

Introduction

We all deserve to work in an environment where we are treated with dignity and respect. PLANIT Group is committed to creating such an environment because it brings out the full potential in each of us, which, in turn, contributes directly to our business success. We cannot afford to let anyone's talents go to waste.

PLANIT Group is an equal employment/affirmative action employer and is committed to providing a workplace that is free of discrimination of all types, to include, abusive, offensive or harassing behavior. Any employee who feels harassed or discriminated against should report the incident to his/her manager, to the Executive Management or the OIG Hotline, as listed below in the **Contractor Reporting Hotline** section.

Create a Culture of Open and Honest Communication

At PLANIT Group everyone should feel comfortable to speak his or her mind, particularly with respect to ethics concerns. Managers have a responsibility to create an open and supportive environment where employees feel comfortable raising such questions. We all benefit tremendously when employees exercise their power to prevent mistakes or wrongdoing by asking the right questions at the right times.

PLANIT Group will investigate all reported instances of questionable or unethical behavior. In every instance where improper behavior is found to have occurred, the company will take appropriate action. We will not tolerate retaliation against employees who raise genuine ethics concerns in good faith.

For your information, PLANIT Group's Problem Resolution policy is as follows:

Employees are encouraged, in the first instance, to address such issues with their managers, as most problems can be resolved swiftly. If for any reason that is not possible or if an employee is not comfortable raising the issue with his or her manager, PLANIT Group's Officers and anyone else in Executive Management operate with an open-door policy.

Set Tone at the Top

Management has the added responsibility for demonstrating, through their actions, the importance of this Code. In any business, ethical behavior does not simply happen; it is the product of clear and direct communication of behavioral expectations, modeled from the top and demonstrated by example. Again, ultimately, our actions are what matters.

To make our Code work, managers must be responsible for promptly addressing ethical questions or concerns raised by employees and for taking the appropriate steps to deal with such issues. Managers should not consider employees' ethics concerns as threats or challenges to their authority, but rather as another encouraged form of business communication. At PLANIT Group, we want the ethics dialogue to become a natural part of daily work.

Uphold the Law

PLANIT Group's commitment to integrity begins with complying with laws, rules and regulations where we do business. Further, each of us must have an understanding of the company policies, laws, rules and regulations that apply to our specific roles. If we are unsure of whether a contemplated action is permitted by law or PLANIT Group policy, we should seek the advice from the resource expert. We are responsible for preventing violations of law and for speaking up if we see possible violations.

Protection of Intellectual Property and Proprietary and Sensitive Information

PLANIT Group's intellectual property (such as trademarks, copyrights, patents), proprietary information (such as trade secrets, internal pricing information, methodologies, business plans, personnel, customers, marketing strategies), and other sensitive business information is the property of PLANIT Group, not of any Employee. Employees receive access to such information in confidence. You are not authorized to use this information for your own personal use or gain or for any purpose other than as authorized within the scope of your duties at PLANIT Group, without express authorization to do so. You should disclose this information internally only on a need-to-know basis and should not disclose it outside of PLANIT Group unless doing so is in PLANIT Group's best interests and if there is a written nondisclosure agreement with the recipient in place. Additionally, PLANIT Group personnel must not receive such information belonging to others from a third party without having the appropriate agreement in place.

Likewise, you must protect the intellectual property and proprietary and sensitive information of PLANIT Group's teaming partners, suppliers, customers, and joint venture partners with the same degree of care as you would PLANIT Group's own information.

The limitations imposed by law and this code on your ability to use PLANIT Group's intellectual property and proprietary or sensitive information last during the entire period of your employment, and continue at all times thereafter.

Unauthorized Receipt or Use of Data

The Unauthorized Receipt or Use of Government Source Selection Sensitive Data or Competitor Proprietary Data is Strictly Forbidden and could subject PLANIT Group to fines, contract termination, suspension or debarment and individuals to criminal prosecution. The knowing receipt or use of such unauthorized data is a violation of law. Some examples of this data are: bid prices and proposed costs/prices; source selection plans; technical evaluation plans; cost, price or technical evaluations; competitive range determinations; rankings or competitive bids/proposals; and, any documents marked with the legend in reference to FAR 3.104. Any employee who comes into possession of any of the above data, marked or unmarked or have reason to believe that the release or receipt of any information is unauthorized, or you are uncertain as to our legal right to have and use the information, do not copy, distribute, or use it until the situation has been reviewed and resolved by Executive Management.

Procurement Integrity

The U.S. Government has a number of laws designed to protect the integrity of the procurement process. See FAR 3.104. Procurement Integrity requires the following:

- Employees may not solicit or obtain another contractor's bid or proposal information or U.S. Government source-selection information from any source, before the award of a competitive contract to which the information relates unless specifically authorized by law and in writing.
- Employees may not use, distribute, copy, or discuss any proprietary, trade secret, or competition sensitive data from i) any of my prior employers; ii) any known competitor of PLANIT Group, its subsidiaries and affiliates; or iii) any current or prospective PLANIT Group client proprietary information,

except as expressly permitted by written agreement between PLANIT Group and i, ii, or iii, above, and then solely to the extent provided for in such written agreement.

- U.S. Government procurement officials must report any contacts by a bidder/offer or regarding future or potential employment, and may be required to disqualify themselves from the procurement.
- U.S. Government agency officials who held certain procurement-related positions or responsibilities may not, after leaving public service, accept compensation as a Subcontractor, officer, director or consultant of a contractor within a period of one year after the former official was involved in a procurement in which the contractor was selected for award. There are also other post-employment restrictions on various U.S. Government personnel depending upon their rank, grade or official duties. Because of the complexities in this area, you should not engage in any employment discussions with U.S. Government personnel without prior approval from PLANIT Group's Executive Management. Do not promise verbal offers of employment as they are just as binding as official offer letters of employment.

Because the Procurement Integrity provisions are complex, any questions should be presented to your Manager or Executive Management to obtain appropriate advice and guidance. In the event it is subsequently determined that you have violated the above, you understand that you may be disciplined up to and including termination for cause, and that you could also be subject to civil or criminal penalties.

Reporting, Allocating and Charging Time and Costs

All of PLANIT Group's books and records shall be prepared and maintained accurately, based on truthful value based work and in compliance with U.S. Government laws and regulations. It is the responsibility of all employees to be aware of the rules which govern the recording, allocating and charging of costs and to ensure that no improper or false entries are made to any corporate records and/or are charged to any U.S. Government or other contracts. Employees required to complete daily time records are responsible for ensuring that the information included on such records is accurate in every respect and completed in a timely manner in accordance with the PLANIT Group Timekeeping/Payroll procedures contained in the Employee Handbook.

Contingent Fees

A "contingent fee" is any commission, percentage, brokerage or other fee payable contingent on the success that PLANIT Group has in securing a contract. In the realm of government contracts, contingent fees can be illegal in some circumstances. Even outside of government contracts, PLANIT Group must exercise a high level of due diligence in its transactions with agents to be paid on a contingent-fee basis, to ensure that the agent is a reputable individual who does not resort to improper means to influence a customer's source- selection decision. Because the law pertaining to contingent fees is complex, PLANIT Group does not permit its employees to arrange for any contingent payments to any consultant or other outside party without the prior written approval of the Executive Management.

Selecting Suppliers

When procuring materials, supplies, equipment, and services, it is PLANIT Group's policy to solicit a sufficient number of responsible and qualified entities to obtain competitive price. Our selection of suppliers will be made on the basis of such criteria as quality, technical excellence, price, ability to perform, adherence to schedules, service and maintenance capabilities, and compliance with Office of Federal Contract Compliance Programs (OFCCP) and Equal Employment Opportunity Commission (EEOC) requirements.

Antitrust Laws

Those associated with PLANIT Group must not engage in discussions or activities that may reduce competition. We must not enter into discussions or agreements with competitors to fix or control prices, to boycott specified suppliers or customers, to allocate customers or territories, limit production or sale of products or product lines for anticompetitive purpose, or pursue other anticompetitive behavior. If

approached by anyone to enter into such discussions, you must report the matter to Executive Management. All agreements with vendors must be reviewed by the Contracting Department/Official PRIOR to entering into a business relationship.

Insider Trading

We believe in encouraging fair and open markets for the buying and selling of securities. We may not buy or sell stocks or securities on the basis of "material," "inside" information which we learn in the course of our jobs; nor may we share such information with others, e.g., family members, friends, suppliers, customers or even colleagues, without a legitimate business reason. This information may relate to PLANIT Group or other businesses — for example, subcontractors.

"Inside" information includes all non-public information, and "material" information or any such information that a reasonable investor would consider important in making investment decisions.

Examples include, but are not limited to:

- Discussions of acquisitions or divestitures;
- Changes in management structures or executive level changes;
- Non-public, or not-yet-public, awards or cancellations of major contracts;
- Non-public information concerning the development of new products, services or processes;
- Non-public financial information, such as corporate earnings, before public release.

Truthful and Accurate Communications

Truthful and accurate communication about services and products is essential to meeting our responsibilities. We must be honest in marketing and in preparing and negotiating bids and proposals. Some laws that require truthful and accurate communications are:

Truth in Negotiations Act (TINA)

The preparation of proposals for the U.S. Government for prime contracts or subcontracts and the negotiation of such contracts/subcontracts must be in compliance with all U.S. Government contracting laws. Employees involved in the negotiation of contracts or subcontracts must review, fully understand and execute in good faith all required representations and certifications. If cost of pricing data is required, the employees must ensure that all cost or pricing data are disclosed and are current, accurate and complete on the date of price agreement as required by the Truth in Negotiations Act. Any questions about compliance with the certification or representations required by a solicitation should be directed to Executive Management.

False Statements

We may not knowingly and willfully falsify or conceal a material fact, make any materially false, fictitious or fraudulent statements or representations, or use any false writings in connection with any matter within the jurisdiction of the U.S. Government. A "material" fact or "materially false, fictitious or fraudulent statement or representation" is one that is capable of influencing the decision of a decision-making body to which it is addressed.

False Claims

The False Claims Act prohibits any individual or company from knowingly submitting or causing the submission of false claims to the U.S. Government. "Knowingly" is broadly defined and includes acts taken in deliberate ignorance or in reckless disregard of the truth or falsity of the information. A "claim" is also broadly defined and includes, without limitation (in addition to claims made directly to the Government), any request, demand or submission, whether under contract or otherwise, for money or property that is made

to a contractor, grantee or other recipient if the U.S. Government provides any portion of the money or property requested, or if the U.S. Government will reimburse such recipient for any portion of the money or property requested. A "claim" also includes any request, demand or submission that has the effect of decreasing an obligation to the U.S. Government.

In addition to being true and accurate and complete, particular care must be taken to ensure that claims made in relation to a U.S. government contract or subcontract conforms to contractual and legal requirements. Remember that:

- All time worked directly or indirectly in support of any U.S. Government prime contract or subcontract must be charged accurately and to the correct charge number;
- All material costs for those contracts must be charged correctly;
- If you submit expense accounts/reports and other forms requesting reimbursement you must follow PLANIT Group's procedures;
- Expense reports should only contain charges that you actually incur in the conduct of PLANIT Group's business; and expenses should be accurately described so that unallowable expenses may be excluded from billings to the U.S. Government. For example, we may not bill alcoholic beverage charges to the U.S. Government.

Executive Management will provide guidance if you have any questions.

Security Requirements

PLANIT Group has agreements with the U.S. Government and or its prime contractors covering the provision of goods and services that are essential to security. As such, we are obligated to implement and maintain a system of controls. We must comply with all applicable government and customer security requirements. You must report immediately to your manager any security violations or situations that could compromise or otherwise affect the security of our clients. If you have any questions about security matters, contact your Manager.

International Business

Both PLANIT Group and its personnel are required to comply with U.S. Government policies when conducting business with individuals and businesses that are not U.S. citizens. Please check with Executive Management PRIOR to entering into business discussions with non-U.S. parties.

Foreign Corrupt Practices Act

Whether you are based in the United States or abroad, you must understand and abide by the Foreign Corrupt Practices Act, which prohibits giving anything of value to a foreign official for the purpose of improperly influencing an official decision. It also prohibits political contributions to obtain or retain business overseas. This Act also prohibits the use of false records or accounts in the conduct of foreign business. Before offering anything of value to foreign public officials, including payments to facilitate routine government action, you must obtain advance approval from PLANIT Group's Executive Management. You must also be careful when considering retaining agents to represent our interests outside the United States. PLANIT Group has strict approval requirements for such consultants; please ensure to contact PLANIT Group's Executive Management for more information.

Anti-Boycott Act

This act prohibits companies from participating in boycotts, not sanctioned by the United States, by any foreign countries against any other country. The law has particular application to dealing with Arab countries that may participate in a boycott of Israel. The law forbids us to:

- Furnish information about our or any person's past, present or prospective relationship with boycotted countries or blacklisted companies; or
- Pay, honor or confirm letters of credit containing boycott provisions.

Requests for boycott information must be reported to the U.S. Government. All such requests should be directed immediately to Executive Management.

Export Controls

There are numerous laws and regulations that apply to the export of materials, equipment, weapons, technology, data, software, information and services to foreign governments, businesses and individuals. Controls may also restrict the sale of these items to U.S. companies abroad and foreign companies in the U.S. The restrictions on exports can also apply to a so-called "deemed export," which occurs when an export-controlled item is disclosed to foreign national Subcontractors who may work for PLANIT Group, a teammate or customer.

Consult with the Executive Management on any and all issues falling within these restrictions.

Avoiding Personal Conflicts of Interest

Personal conflicts of interest are those outside activities or personal interests which could influence objective decisions made by an employee in the performance of his/her job responsibilities. Therefore, any personal activities or financial interests which may possibly affect an employee's work for PLANIT Group are prohibited unless Executive Management approves them in writing in advance. For example, "moonlighting" for a competitor, supplier or client while employed by PLANIT Group could pose a conflict of interest and is prohibited unless approved by Executive Management. When performing work and conducting transactions for PLANIT Group, corporate interests must take precedence over any personal interests in those matters. Any activity that even appears to influence the objective decisions of its employees and their responsibilities is a potential conflict of interest and is prohibited unless previously reviewed and approved by Executive Management. When contracting with the U.S. Government, a conflict of interest may also arise because of specific laws and regulations prohibiting or limiting the ability of contractors to make offers of employment, to hire and to compensate current or former U.S. Government employees.

Political Contributions and Activities

The contribution of PLANIT Group's name, funds or the use of company assets or facilities for the benefit of candidates for federal office, or political parties associated with campaigns for federal office, is strictly prohibited. Consult with Executive Management if you have any questions about this policy.

Safeguarding Health and Safety

PLANIT Group is committed to employee health and safety at all of its facilities. Each of us is responsible for following the rules and procedures established at our facilities to ensure a healthy and safe working environment. Report any incident of non-compliance or any unsafe condition immediately to Security at (704) 243-9700, Ext. 119 or security@planitgroup.com. Also see the **Contractor Reporting Hotline** section.

The possession, sale or use of illegal drugs, or being under the influence of such drugs on company time or company property, or at company-sponsored events, is prohibited.

Safeguarding PII and PHI

PLANIT Group takes the protection of PII and PHI (Personally Identifiable Information and Protected Health Information) very seriously. In addition to the information below, Employees will conduct a mandatory annual course. HIPAA/HITECH laws protect both PII and PHI from unauthorized uses and disclosures. Other laws supplement protection provisions.

PII is information that can be used on its own or with other information to identify, contact, or locate a single person, or to identify an individual in context. PHI is any information about the health status, provision of health care, or payment for health care that can be linked to a specific individual.

PII Examples: Full Name (If not common), home and email addresses, SSN, IP address (in some cases), vehicle registration and driver's license numbers, face, fingerprints or handwriting, credit card numbers, digital identity, date or place of birth, genetic information, telephone numbers, login names.
Used but less common are: residence, age, gender, race, school names, grades, salary or job position and criminal record.

PHI Examples: Name, address, dates related to an individual, telephone and fax numbers, email addresses, SSN, medical record number, health plan beneficiary number, account number, cert/license number, vehicle or device serial number, web URL, IP address, finger or voice prints, photo images, any other characteristics that can uniquely ID the individual.

If you have any questions or want to report an actual or potential PII/PHI breach, please contact your PLANIT GROUP Resource Manager.

Hiring Former Government Employees

Any discussions or contacts with current or former Government employees (Federal, State, military or civilian) for the purpose of exploring potential employment or consulting opportunities with PLANIT Group are subject to multiple sets of laws and regulations. Even if PLANIT Group is able to hire these individuals, or otherwise retain their services, they may be prohibited from performing certain tasks or duties that relate to their previous employment. To ensure compliance with these rules, consult with Executive Management PRIOR to engaging in discussions.

Providing and/or Receiving Gifts or Entertainment

Our relationships with our customers and vendors must be free from the perception that favorable treatment was sought, received or offered through gifts or entertainment. "Gifts or entertainment" includes, without limitation, tickets to sporting or cultural events, travel, lodging, meals, clothing, compensation, credit, drinks, door prizes, raffles, fees, after-business-hours activities such as nightclubs, and other items of value.

While there are certain circumstances under which it is permissible to furnish or accept such items, we are expected to follow a course of action that complies with the following guidelines. If you have questions concerning gifts or entertainment, please consult with Executive Management.

Gifts and Entertainment with Non-Government Persons

It is unsafe practice for employees to give gifts or money to current or prospective PLANIT Group suppliers or subcontractors. Conversely, employees must report to their manager or Executive Management, any instances in which a current or prospective PLANIT Group supplier or subcontractor offers them money or gifts.

Gifts and Entertainment with U.S. Government Representatives

With few exceptions, U.S .Government agencies have strict prohibitions against their employees accepting any business courtesies. Therefore, the approval by Executive Management must be obtained when an employee is considering giving any item of value to any Government employee or prime contractor representative or is considering paying for a Government employee's or prime contractor representative's entertainment, travel, meals or lodging.

Avoiding Illegal Kickbacks

Under the Anti-Kickback Act of 1986, nothing of value (the "kickback") is to be given or accepted as a basis for awarding or obtaining contracts or subcontracts or for favorable treatment under contracts or subcontracts. If you have reason to believe that a kickback has been requested or given or accepted, you must immediately report this to Executive Management.

A bribe or "kickback" is any money, fee, commission, credit, gift, gratuity, thing of value, or compensation of any kind that is provided, directly or indirectly, and that has, as one of its purposes, the improper obtaining or rewarding of favorable treatment in a business transaction.

The U.S. Government has strict rules prohibiting the solicitation, acceptance or provision of gratuities or kickbacks for the purpose of securing contracts or obtaining or rewarding favorable treatment in connection with any U.S. Government prime contract or subcontract. Violation of these rules by employees is strictly forbidden and may result in an employee's termination.

Even where no preferential treatment is requested or given, a payment to or received by a U.S. Government employee for performing an official act can be considered to be an unlawful gratuity.

PLANIT Group employees shall not solicit, accept or provide any gratuity or kickback in connection with any PLANIT Group transaction.

PLANIT Group employees will not accept from firms or individuals doing business, or seeking to do business with PLANIT Group any kind of loans or payments or other services or items of value that are not available to the general public.

Other Legal Requirements

Mandatory Obligation to Disclose Certain Misconduct

The Federal Acquisition Regulation (FAR) requires the disclosure of credible evidence of federal criminal law violations involving fraud, conflict of interest, bribery, or gratuity violations, as well as claims under the Civil False Claims Act, and significant overpayments. This mandatory disclosure obligation continues for three (3) years after contract close-out.

In order to comply with these obligations, PLANIT Group employees must immediately report any issues that could potentially constitute a violation of criminal or civil law, or significant overpayment on a Government contract, to your Manager, Executive Management or to the OIG Hotline, as listed below in the **Contractor Reporting Hotline** section.

Any employees who witness misconduct impacting customers or clients must report the incident to PLANIT Group's Executive Management. PLANIT Group's Executive Management, in conjunction with the Director of Security & Compliance, will conduct an investigation and provide results of outcome and any going forward mitigated action to respective customer / client.

Use of Suspended/Debarred Contractors

Individuals and/or companies listed on the General Services Administration's Excluded Parties List may not be hired as employees or consultants or used as subcontractors on U.S. Government contracts.

Byrd Amendment

This law prohibits the use of contract payments to pay any person for influencing or attempting to influence officials of the executive or legislative branch (including members of Congress and their staffs) of the U.S. Government in connection with the award or modification of U.S. Government contracts.

PLANIT Group Restricted Information

Do not disclose to any outside party except as specifically authorized by PLANIT Group management pursuant to PLANIT Group's procedures, any PLANIT Group proprietary/ sensitive property such as, but not limited to, non-public business, financial, personnel or technological information, computer files, data or plans that you have acquired during your employment at PLANIT Group. Upon termination of your employment, you may not copy, take or retain any documents containing PLANIT Group restricted information. The prohibition against disclosing PLANIT Group restricted information extends indefinitely beyond your period of employment. Your agreement to protect the confidentiality of such information in perpetuity is considered an important condition of your employment at PLANIT Group.

Raising a Concern Under This Code

Should you have questions about the Code, wish to raise a concern, seek advice or report alleged misconduct or violation of Company policy (including the Code); you may do so by contacting Executive Management or the OIG Hotline, as listed below in the **Contractor Reporting Hotline** section.

Reports of alleged misconduct will be investigated and, if substantiated, resolved through appropriate disciplinary action up to and including termination of employment. Confidentiality is maintained to the extent possible, although disclosure may be necessary in some cases to effectively conduct an investigation or if required by law. Employees are required to cooperate in internal investigations.

PLANIT Group reserves the right to discipline anyone who knowingly makes a false accusation or has otherwise acted improperly.

If an employee voluntarily reports that s/he was involved in a violation of Company policy (including the Code), such self-reporting may be considered when determining the appropriate disciplinary action to be taken.

Retaliation is prohibited against an employee who raises a concern, seeks advice or reports alleged misconduct or violation of Company policy. PLANIT Group will not terminate, demote or otherwise discriminate against an employee who raises a concern. As well, it is important for colleagues not to become alienated from someone who has made such a contact; the employee should continue to be treated with respect. Any change in treatment (e.g., no longer sharing information, etc.) toward a colleague who has raised a concern can be construed as a form of retaliation and is not permitted.

Anyone who may have experienced retaliation after raising a concern should bring the issue to the attention of Executive Management or the OIG Hotline, as listed below in the **Contractor Reporting Hotline** section.

The Contractor Reporting Hotline

United States Department of Labor, OIG (Office of Inspector General) operates a hotline to receive and process allegations of fraud, waste, and abuse concerning DOL contracts.

You do not need to provide your name or any other identifying information in order to file a complaint with the OIG Hotline. However, we will not be able to contact you if we need to seek additional information about your complaint if you choose to remain anonymous.

Moreover, when you contact the OIG Hotline, please provide as much detailed information as possible concerning your allegations, including: who is involved, when the situation you are reporting took place and whether it is still ongoing, where the situation occurred, what happened that was inappropriate and prompted you to contact the OIG Hotline, and how the situation took place.

OIG Hotline URL: http://www.oig.dol.gov/hotlinemain.htm
Online Form: http://www.oig.dol.gov/hotlineform.htm
Email: hotline@oig.dol.gov
Telephone: 202.693.6999 or 800.347.3756
Fax: 202.693.7020

Mailing Address:
Attention: Hotline
Office of Inspector General
U.S. Department of Labor
200 Constitution Avenue, N.W.
Room S-5506
Washington, D.C. 20210

I ACKNOWLEDGE THAT I HAVE READ AND UNDERSTAND THE COMPANY CODE OF BUSINESS ETHICS AND CONDUCT POLICY DOCUMENT:

_____   _____

Signature   Date

_____

Print Name

insureon

November 21, 2019

RE: PlanIT Group LLC – Letter of Bondability

To Whom It May Concern:

This letter is to confirm that we have a bond quote available for purchase should PlanIT Group LLC
decide to secure coverage through our office. The quoted limit is $1,000,000.
Please feel free to reach out to me with any questions or if I can assist you further.

Sincerely,

Holly Burton
Licensed Agent, Insureon

Response to Request for Proposal:

Bid No. 710-20-0005
Security and Privacy Controls Assessment (SCA)
Arkansas Department of Human Services

Bid Manager	Corporate Offices	Security Officer
DOUG MITCHELL	**PlanIT**	**BLAKE HANSARD**
dmitchell@planitgroup.com	Mansell One	bhansard@planitgroup.com
404.310.1763	3700 Mansell Road, Ste 125	864.238.1203
	Alpharetta, GA 30022	
	Office: 954.687.1000	

Table of Contents

1 Executive Summary

PlanIT's depth of Medicaid and integrated eligibility subject matter experience, along with our technical and security expertise, ensures we understand the importance of securing constituent data and the complexities of managing a Security and Privacy Controls Assessment (SCA) against the Centers for Medicare and Medicaid Services (CMS)'s Framework for the Independent Assessment of Security and Privacy Controls.

We have worked with state agencies in developing, implementing, managing, and auditing all aspects of Medicaid programs. As a result, we understand more than just the technical implications of security as it is defined; we understand the business aspects of Medicaid programs. We know why data is collected and stored. We understand how systems are used and the benefits they deliver. We understand the goals, issues, and realities that define the risk each control contributes.

1.1 Client Experience

PlanIT specializes in federally-sponsored state and local programs. We partner with State Departments and corporate security teams to develop, manage, and audit security programs based on CMS Minimum Acceptable Risk Standards for Exchanges (MARS-E), National Institute of Standards and Technology (NIST) 800-53, General Data Protection Regulation (GDPR), Health Insurance Portability and Accountability Act of 1996 (HIPAA), Health Information Trust Alliance (HITRUST), and Payment Card Industry (PCI) standards. Our recent projects include:

- Puerto Rico Department of Health (PRDoH) – Puerto Rico Medicaid Program (PRMP) – Program Development
- PRDoH – PRMP – Medicaid Management Information System (MMIS) Security and Privacy Controls Audit
- PRDoH – PRMP – Eligibility and Enrollment (E&E) System Security and Privacy Controls Audit
- New York Department of Health – MMIS Security and Privacy Controls Audit
- Assessment Approach

The Arkansas Department of Human Services Security and Privacy Controls Audit request mandates adherence to the CMS framework for independent assessment of security and privacy controls. In accordance with this framework, we will evaluate policy and evidence of adherence in the following categories:

- Security Policy Assessment
  - ♦ Access Controls
  - ♦ Awareness and Training
  - ♦ Audit and Accountability
  - ♦ Security Assessment and Authorization
  - ♦ Configuration Management
  - ♦ Contingency Planning
  - ♦ Identification and Authorization

- ◆ Incident Response
- ◆ Maintenance
- ◆ Media Protection
- ◆ Physical and Environmental Protection
- ◆ Planning
- ◆ Program Management
- ◆ Personnel Security
- ◆ Risk Assessment
- ◆ Systems and Services Acquisition
- ◆ System and Communication Protection
- ◆ System and Information Integrity
- Privacy Policy Assessment

  - ◆ Authority and Purpose
  - ◆ Accountability, Audit, and Risk Management
  - ◆ Data Quality and Integrity
  - ◆ Data Minimization and Retention
  - ◆ Individual Participation and Redress
  - ◆ Security
  - ◆ Transparency
  - ◆ Use Limitation

The outcome of the audit will result in delivering the following:

- Written summary of findings
- Detailed findings audit based on NIST 800-30 Risk Assessment and the CMS Reporting Procedure for Information Security Assessments
- All audit paperwork generated either electronic or hard copy

1.2 Ongoing Support

PlanIT believes in building lasting and long-term partnerships. To achieve this goal, having strong customer service and support is a priority in everything we do. We stand by all our work products and will answer questions and support our clients in certification or panel discussions with CMS if needed. We look forward to sharing our experience and knowledge with the State and building mutually beneficial relationships.

2 Company Overview

PlanIT Group is a fast-growing global technology consulting firm dedicated to delivering innovative solutions to their clients that drive results. The PlanIT team delivers innovative solutions and services that include management consulting, systems integration, engineering services, enterprise resource planning (ERP)

solutions, enterprise architecture, communications, and technology infrastructure services.

PlanIT focuses on delivering value and driving increased productivity and efficiencies for their clients' mission. Their extensive experience in the federal, defense, intelligence, state, local, healthcare, and commercial industries has delivered proven results and accelerated benefits.

Clients engage PlanIT for their integrity, expertise, and people.

PlanIT resources have provided services to over 20 state Medicaid programs, offering the following services:

Advisory Services:

- Medicaid Strategy Support
- CMS Communications and Support
- CMS Certification
- Advanced Planning Document (APD) Development (Funding)
- Vendor Management Support
- Contract Negotiation Support

Project Operations:

- Scope Management
- Process Development and Governance
- Schedule and Integration Management
- Cost Management
- Risk and Issue Management
- Communications Management

Consulting Services:

- Project Management
- SME/Knowledge Transfer
- Mentoring Managed Care Organizations (MCOs) for 837 Submission
- System Architecture, Design, and Integration Leadership
- Security Architecture, Assessments, and Remediation
- System Testing
- UAT Testing
- CMS Certification
- Transformed Medicaid Statistical Information System (T-MSIS) Support and Data Management Strategy
- Deliverable Review and Recommendation
- Predictive Risk Assessments
- Business Process Re-engineering Leadership (Standard Operating Procedures)

3 Related Experience

Client	Overview	Reference
New York State Department of Health Office of Health Insurance Programs 431A Broadway Albany, NY 12204	Performed audit on: • Conduent Health Enterprise (MMIS) • Conduent Pharmacy Benefit Manager (PBM) • Conduent Datacenters • IBM Datacenters	Tony DiVirgilio MMIS Health Program Director Division of Operations & Systems 518.457.8592 Tony.DiVirgilio@health.ny.gov

Client	Overview	Reference
	• Conduent Vendor Compliance • IBM Vendor Compliance • LivePerson Vendor Audit	
PRDoH PRMP 268 Av. Luis Muñoz Rivera San Juan, PR 00918	Performed audit on: • PRDoH Office of Information, Access, and Technology (OIAT) • Administracion de Seguros de Salud de Puerto Rico (ASES) • DXC Vendor Audit • RedMane, Cúram Vendor Audit • Intervoice Vendor Audit • Puerto Rico MMIS • Puerto Rico Eligibility and Enrollment (E&E)	Carlos Carrasquillo Program Manager MMIS/E&E Medicaid Program 787.765.2929 ext. 6702 carlos.carrasquillo@salud.pr.gov

4 Security and Privacy Audit Methodology

CMS expectations surrounding IT audit are clearly documented and follow well-known processes and expectations. PlanIT's approach to IT audit fully complies with these expectations, including CMS standardized templates, guidelines, and evaluation criteria. We know the importance of ensuring a standardized approach that can be duplicated in the future. We also understand that the nature of each program has different attributes that can greatly impact the risk of compliance with each control.

Our audit processes start with the collection of key documentation including, but not limited to:

- System Privacy Impact Assessment used to establish Security and Privacy Control Impact level
- Security System Plan
- Security Policies, Standards, and Guidelines
- Incident Response Plan
- Business Continuity and Disaster Recovery Plan
- Security Training Plan
- Information Security Agreements

This review provides us with the foundation needed to properly frame the collection of evidence surrounding the environments, software, and facilities hosting the program.

Our auditors will score the security program based on two key measurements:

- Documentation coverage and adherence to standards
- Evidence of compliance against documented plans and policies

The combined score will result in defining whether the control has been implemented, partially implemented, or not implemented. Any control that is partially implemented or not implemented will be assigned a risk level of either high impact, moderate impact, or low impact.

Evidence of compliance will be gathered through several common methodologies including:

- Inspection of system configurations, log files, reports, and associated documentation
- Demonstration of capabilities by team members
- Interviews with team members

The final report will be presented to the State following the CMS Security and Privacy Assessment Report (SAR) format.

5 Delivery Management

PlanIT provides project management office services to a wide variety of clients including state and local government. We work well with projects of all sizes and know how important it is to have a consolidated project plan and provide a clear status that reflects the reality of the plan implementation. All projects will have a project manager responsible for the creation, maintenance, and reporting of all tasks surrounding our work.

Within 15 days of project start, the project manager will provide a detailed project plan. Due to the 10-week requirement for completion of the initial assessment, the project manager will use this plan for immediate tracking and reporting to the State. This plan will be reviewed with the State Project Management Office (PMO), and updates and clarifications will be made and finalized within 30 days of contract start. Any modifications made which impact tracking against the initial submission will be clearly outlined and documented, as needed, to ensure clear understanding of the project status.

The project plan will include details surrounding the initial assessment and optional assessment of the existing system. Year 2 and Year 3 assessments will be documented; however, start dates will be conditional on Integrated Master Schedule (IMS) projected start dates.

Throughout the audit, the project manager will coordinate onsite visits with the State. This coordination will project an agenda for each visit that will include the objectives of the visit, list key participants needed to achieve the objectives, and provide an estimated time impact on those resources to ensure that minimal disruption of normal activities will occur.

All audit documentation will be stored in a shared document area such as Microsoft SharePoint. Due to the sensitive nature of this material, document storage areas will restrict access to only individuals with a documented need for access. We believe in transparency throughout the project and wish to ensure all individuals with access can view project as needed.

6 Information Sharing Agreements

PlanIT takes your privacy and intellectual property very seriously. As such, all team members will fully comply with expectations outlined in the business associate agreement. All work will be performed on PlanIT authorized equipment or equipment provided by the State as needed. All PlanIT equipment is configured with encryption at rest, mobile data management services, and secure communications capabilities. Any documents sent through electronic media will be encrypted.

Any piece of equipment managed by PlanIT that is taken out of service for any reason will be wiped in accordance with NIST-compliant media protection guidelines. Any hard copy documentation collected by PlanIT will be either returned to the State or shredded upon completion of the engagement. All resources with access to electronic or hard copy information surrounding this project will be documented and listed with the State prior to access being granted.

PlanIT will store electronic project documentation for a period of 3 years on a secured SharePoint platform. We use Microsoft AZURE Cloud services for hosting of our SharePoint repository to ensure proper backup and disaster recovery capabilities. If the State does not wish for PlanIT to retain a copy of our final report, we will destroy all documentation in accordance with State expectations.

7 Staff Resumes

7.1 Engagement Manager – Doug Mitchell

Doug is the Senior Vice President of PlanIT Group, a fast-growing management and technology consulting firm. Doug has over 25 years of experience delivering large-scale federal, state, and commercial implementations, including responsibility for managing IT client delivery of Medicaid systems to the States of New Hampshire, North Dakota, Montana, and New York.

7.2 Chief Information Security Officer (Key Individual) – H. Blake Hansard

Blake has over 25 years of experience in all aspects of enterprise system architecture, compliance, and design. He has worked on Medicaid projects for New York, Tennessee, Puerto Rico, and Montana. Additionally, he has worked on compliance for federal TRICARE systems as well as Fortune 50 insurance systems. He has led security program development and security audits in the Medicaid space for both New York and Puerto Rico within the past 5 years.

7.3 Director of Information Security (Key Individual) – Ronald R. Schrimp, Sr.

Ron Schrimp is a proven business leader and information security executive across the spectrum of infrastructure, business, and operations with a successful 28-year professional track record in the public and private sector delivering positive results in enterprises ranging from medium to global operations. He was the former CISO

at Ingenix, A United Health Group Company, ISO for the NYSOH, Director of Policy Management for the NYMMIS, and Director of PRMES – PREE Information Security Platform, Cúram. He has successfully created strong healthcare information management and information security foundations upon which to build strategic technology solutions in the healthcare industry, working with chief executives, customers and peers to transform the performance and outcomes at the enterprise level while reducing operational costs.

7.4 Project Manager – Edward Barnett

Edward is an accomplished Program/Project Manager with a strong affinity for both technology and the business sense for the application of emerging technology and Business Process re-engineering. With over 20 years of experience managing medium to large ($1 – $120 million) complex projects, he has successfully managed the implementation of healthcare and Medicaid projects (MMIS, Healthcare Data Warehouse, Healthcare Information Exchange (HIE)) ensuring that these applications adhere to federal and state regulations and within the Security and Privacy guidelines as defined by:

- HIPAA
- HITECH
- NIST
- CMS

He has managed multiple projects involving performance of full security risk assessments and development of plans of action to prioritize and address each issue to resolution.

Appendix A Scope Definition

A.1 In-Scope Deliverables

The following items are deemed in scope and will be delivered as part of this project:

1. Security and Privacy Controls Assessment (SCA) of the Integrated Eligibility and Benefit Management (IE-BM) Solution
2. All audit notes and documents
3. Final Security Assessment Report (SAR)
4. Three Audits over 3 years
5. (Optional) one audit of Curam system

A.2 Out-of-Scope Items

The following items have been deemed out of scope and will not be delivered as part of this project:

1. IRS Publication 1075 audit for connectivity to the Federal Data Services Hub
2. Other standards such as GDPR or PCI
3. Remediation of findings
4. Development of Plan of Actions and Milestones (POAM)
5. Security testing

A.3 Constraints Identified

PlanIT has identified the following constraints to be considered when defining the scope of this project:

1. Audit to be completed within 10 weeks or less of annual start date
2. All audits to follow CMS Framework for Independent Assessment of Security and Privacy Controls
3. IE-BM Solution Hosting
4. One data center hosting EEF
5. One cloud-hosted center (AWS) hosting Nextgen
6. One operations facility
7. Work can be performed remotely unless required for onsite inspection or demonstration
8. All onsite visits will be coordinated with sufficient time to allocate resources and prepare to respond to documented agendas

A.4 Assumptions Made

The following assumptions have been made by PlanIT when developing this bid:

1. IE-BM Privacy Impact Assessment will show a Moderate level system

2. All security documentation is complete and ready for review

3. Auditors will have access to all resources required to complete audits in a timely manner

4. All security testing including recent vulnerability, penetration, and code analysis has been completed

5. Audit environments are configured the same as production environments

6. Vendor resources will be available to answer questions, perform demonstrations, or grant access to design, development, and implementation (DDI)/maintenance and operations (M&O) facilities and environments as needed to complete the audit

DOUG MITCHELL

PROFESSIONAL SUMMARY

- Proven Professional Services executive with 20 plus years of IT engagement leadership, managing teams across the US, Manila, Mexico, and India. Deep experience leading and building profitable teams, managing P&L.
- Decisive leader known for clearly defining mission and goals, recruiting and growing quality talent, and consistently delivering results that exceed expectations.

CORE COMPETENCIES

- Program and Product Management
- Business Development and Strategy
- Medicaid MMIS CMS Certification
  - HIPAA
  - HITECH
  - NIST
  - CMS
- Program and Product Management
- Business Process Improvement
- Vendor Contract Negotiation and Management
- Resource Planning and Development

- Microsoft Enterprise Project Management Tools
- Microsoft Project
- MS Excel, Word, Visio, PowerPoint
- Web-based Application Development
- Agile, Waterfall and Hybrid Methodologies
- Mobile Application Strategy and Development
- AWS Cloud Technologies
- Infrastructure Builds
- Ecommerce
- Business Intelligence/Data Warehouse

PROFESSIONAL EXPERIENCE

Apr 2017 – Present
Executive Vice President State, Local, and Civilian / PlanIT Group / Professional Services for the Fortune 100-500, State, Local, and Federal Government
- Responsible for business development, delivery and P&L for the State, Local, and Civilian verticals. Key area of focus is Government Healthcare IT solutions, delivery, and operations and maintenance.
- Major accomplishments in the last 12 months include:
  - Delivered cornerstone account and Increased ARR by a multiple of seven in 9 months
  - Delivered first module (representing 30% of overall solution) of new Medicaid system on time and on budget. Managed integration for 4 technical solutions and 4 vendors to success. Currently running system operations. Monthly access to Secretary of State and Secretary of Health.
  - Successfully transitioned $2MM ARR account to new, more advantageous prime
  - Developed 2017 and 2018 PlanIT pipeline projecting at $34MM ARR over three years
  - Delivered $30MM proposal at $6MM ARR for Long Term system, O&M and hosting solution (Canceled RFP, set for re-bid)
  - Delivered $60MM proposal at $12MM ARR for State Medicaid PMO (Pending Decision)
  - Delivered $50MM proposal at $10MM ARR for State Advisory Services (Awarded to Competitor)
  - Delivered three additional proposals for $6MM for Healthcare related services (Two Pending Decision)

Oct 2012 – Mar 2017
Chief Engineer/Vice President Services Delivery / Xerox / Conduent
- Responsible for information technology client delivery of Medicaid Management Information Systems (MMIS) on the Health Enterprise (HE) product base to the states of New Hampshire, North Dakota, Montana, and New York.

- Each Medicaid system implementation spans multiple years and represents 100 million plus in revenue.
- On a daily basis in this role, I work with employees, partners, and external customers
- Named delivery executive on ND and NY. Responsible for delivery of SOA, Modular technical solution with DOD equivalent cyber security requirements, system hosting solution and O&M. Lead executive leadership team of five. Responsibility for 300+ technical and functional resources.
- Providing hands-on management and problem-solving at the executive level.
- Interacting and negotiating with internal C-Level management and the C-level corresponding executives within State Governments and partner organizations.
- Managing Development and Subject Matter Experts across all Government Healthcare projects.
- Managing budget/cost across all projects.
- Supporting and/or driving the capture of additional revenue through new system and services scope.
- Visioning and solutions management to address the changing demands in healthcare, such as ICD 10, NCCI, and provider management.
- Major accomplishments in 36-month period (10/12-10/15) include:
  – Lead integration of six technology platforms, and three data conversion workstreams to support New York's Fee for service Medicaid solution.
  – Played key role in developing NY's innovative, Medicaid modularization approach.
  – Development productivity enhancement of 50%-100% across NH, AK, and ND.
  – Driving development and delivery of MMIS Systems to NH and ND.
  – Key solution and sales role of additional $75MM in revenue enhancement in 24 months.
- Re-organized and re-staffed after significant turnover at all levels of the organization early in my return to Xerox.

2010 - 2012 **Principal/Owner, Adaptive Project Solutions, Inc. / IT Project Management Consulting Company servicing the Fortune 1000**
- Responsible for business development and delivery.
- Managed professional services focused on selling and delivering Healthcare/IT consulting services, executive PMO, and Independent Validation and Verification.
- Developed and managed $1MM revenue per year for an FTE pool of 3-8 resources.
- Major engagements included:
  – Implementation consulting on MMIS implementation projects. Activities included project health, tools, and processes assessment; recommendation and executive level support to ensure completion of development and operational readiness of Medicaid claims processing systems
  – Implementation consulting on Federal Student Loan collections system. Activities included project health and supporting tools and processes assessment, recommendation and hands-on support for operational readiness remediation
  – Independent Validation and Verification and QA, Alaska Department of Health and Social Services
  – Led IV&V and Quality Assurance (QA) contract for a $50 million implementation/$100 million healthcare systems and operations contract
  – Manage vendor project office to client relationship on a project spanning more than 1MM hours of effort
  – Led $100MM+ procurement effort for SOA (Service-oriented architecture) based, MITA (Medicaid Information Technology Architecture) Compliant MMIS

2006 - 2010 **Vice President Project Office (Corporate OCIO)** / Affiliated Computer Services (ACS, A Xerox Company)- World's largest Business Process Outsourcing Company

- Reporting to the corporate CIO, managed delivery, process, and tool standardization, and vendor governance support across HRO, Health Care, Transportation, State and Local Government, and Education business units.
- Key efforts include onshore/offshore leadership, talent acquisitions, pre-sales and proposal support, and management support for some of ACS' largest corporate and customer delivery initiatives totaling in excess of $300 million in product development and implementation efforts, including Medicaid claims payment (4 concurrent implementations), Eligibility and Child Support systems.
- Owned direct P&L for 100-person consulting services team, including HW/SW for collaboration, reporting and implementation tools in support of $1 billion business. Indirect P&L for 500+ resources dedicated to project implementations.
- Major accomplishments include:
  – Developed corporate strategy and led rollout of collaboration and quality assurance tools
  – Developed contract risk modeling tool/process to inform the sales review board
  – Developed and trademarked ACS's quality management system and implementation methodology
  – Achieved CMMi L3 for corporate OCIO, and rolled out tailored version to ACS's three biggest project-based business units, improving repeatability and predictability across the book of business
  – Delivered $45MM in savings by co-leading the planning and execution of single source off-shoring/outsourcing
  – Delivered $20MM in combined savings and revenue generation by recovering five projects
  – Developed Vendor Governance model, reporting tools, and organization responsible for managing selection, SLA performance, SOW, value, and satisfaction, on 100M+ in vendor spend

2002 - 2006   **Principal/Owner** / Adaptive Project Solutions, Inc.- IT Project Management Consulting Company, servicing the Fortune 1000
- Responsible for business development and delivery. Managed professional services focused on delivering Healthcare/IT systems, executive PMO and IT management consulting services, and Independent Validation and Verification.
- APS resources and IP was acquired by ACS/Xerox in 2006.
- Major Engagements included (PMO Director for three large programs)
  – State of Georgia Medicaid and Commercial Claims Processing Systems (MultiHealthNet Portal): Led by ACS, MHN was a $350MM program, including a 2-yr. development effort and five years of Operations. MHN processes $9B in claims transactions annually. Responsible for total program schedule encompassing 70 integrated work plans totaling 30,000 tasks, 800 FTEs, 20 subsystems, and six sub-vendors ranging in size from small, niche technology companies to the Big 5.
  – Federal Student Loan System Advance Borrow Services Program: Led by Pearson Government Solutions, Advance was a $2B, 10-year effort, including a 3-yr. development phase to re-platform and upgrade the front-end business processes of the Federal Student Loan system, focusing on Application, Origination and Disbursement, a customer-centric Student Web Portal, and a Siebel based CSR portal. Program included 15 sub-vendors. As PMO Director I assessed the project operating model (people, process, technology), then established and socialized a governance model, processes and procedures for work planning (schedule and resource), and internal and external reporting.
  – Federal Student Loan System Consolidated Services for Borrowers Program: Led by ACS, CSB was a $2B, 10-year effort, including a 3-yr. development phase to the upgrade and integrate the four back-end components--Loan Fulfillment, Payment Processing, Recovery and Resolution, Document Management—of the Federal Student Loan system. Program included 30 sub-vendors. As PMO Director, I assessed

the project operating model (people, process, technology), then established and socialized a governance model, processes and procedures for work planning (schedule and resource), project and code management, and internal and external reporting.

1999 - 2002   **Program Director** / iXL/Scient- Creative and System Integration firm, serving the Fortune 1000
- Owned delivery for Telecommunications Vertical and Travel Vertical: managed programs ranging in size from 10,000-100,000 hours, led multi-disciplinary teams.
- Programs typically included 2-5 concurrent projects.
- The largest program spanned 18 months, peaked at 70+ Scient FTEs, included four cities, three Scient offices, and two remote, sub-vendors, generating $20 million in revenue.
- Major accomplishments included:
  - Delivered $20MM in contractual commitments to major telecommunications company, ranging from middle tier and presentation layer applications to complete re-branding of the external website
  - Secured $6MM in additional business across the Telecommunications and Travel verticals
  - Saved $4MM via project recovery in the Financial vertical
  - Participated in bootstrapping operations for two start-up companies via iXL's private equity group

1994 - 1995   **Project Manager for state transportation and commercial manufacturing projects /** Automation Architecture
- Served as the primary client contact and project manager for the State of California CalTrans account.
- Led content development and quality assurance for the Community College Consortium (CCC), class/curriculum scheduling system; served as project manager for the development of a manufacturing line production management system.

1993 - 1994   **Project Manager for Material Safety Data Sheet Implementation** / McClellan AFB, Environmental Division (Client)
- Led data management, quality assurance and training efforts for McClellan's new Material Safety Data Sheets tracking system, TINIA.
- Developed and administered training sessions for end users on the new system and wrote and edited user documentation.
- Conducted impact analysis studies on emerging environmental technologies and published findings throughout the DOD.

EDUCATION and CERTIFICATIONS
- Bachelor of Arts, California State University, Sacramento
- Project Management Professional Certification (PMP) from PMI
- IIL Orange Belt Certificate in Microsoft Project

H. BLAKE HANSARD

PROFESSIONAL SUMMARY

Detail-oriented and self-motivated professional with a wide range of technical and business experience. More than 20 years of experience in the technology field primarily focused on MMIS, government, and Fortune 100 enterprises. Well versed in enterprise-class applications, high-availability systems, audit and standards requirements, and multi-application integration. Comfortable overseeing large development teams, establishing architecture and standards for security and development process, or working independently to develop and deliver high-priority deliverables.

CORE COMPETENCIES

- HIPAA
- NIST
- HITECT
- CMS Moderate +
- MECH
- TOGAF
- JEE/Java
- ORM
- Hibernate
- JPA
- Spring
- Struts
- DOM4J
- AJAX
- Web Services
- REST
- SOAP
- JAXB/JAX-RPC

- HTML/XHTML
- jQuery
- AngularJS
- Backbone
- CSS
- JavaScript SQL
- XML
- FLEX/Flash
- Maven
- ANT
- SONAR
- HammurAPI
- Velocity
- Kerberos
- LDAP
- jUnit
- JMS
- OSGi

- CXF
- Drools
- BPM
- Bonita
- Orchestra
- Process Server
- Stardust Content Management
- WebSphere Application server
- Glassfish
- Tomcat
- WebLogic
- IIS
- IBM DB2 UDB
- IBM DB2 zOS
- Oracle 11g
- MySQL
- Microsoft SQL Server
- Sybase

- WebSphere Message Broker
- WebMethod IBM Portal Server
- IBM Process Server
- IBM ESB
- IBM iSAM
- IBM iSIM
- Eclipse
- Netbeans
- jBuilder
- Visual Studio
- Adobe Photoshop
- GIMP
- MS Office Suite
- Linux/UNIX
- Windows 10/7/XP

PROFESSIONAL EXPERIENCE

Feb 2018 – Present

Chief Security Officer / Lead Enterprise Architect, Puerto Rico Medicaid Program (PRMP) / PlanIT Group

PRMP Program Development
- Remediation project based on the findings in the PRMP MMIS Security Audit and PRMP PREE Security Audit
- Updated and Developed all PRMP Security Policy, Standards, Guidelines, and Standard Operating Procedures for the PRMP Security Program
- Developed a Training Program for key Puerto Rico resources including their CISO, ISO positions
- Implemented Security Operations Center
- Updated Information Security Agreements for third-party vendors
- Acted as CISO while training State Resources

Puerto Rico Eligibility and Enrollment Security Audit / Program Oversight
- Worked with PRMP to develop Security Expectations / Requirements for Redmane Vibes System (built on IBM Cúram)
- Conducted Security and Privacy Controls Audit
- Conducted Publication 1075 Audit

Puerto Rico Medicaid Management Information System
- Conducted PRMP Security and Privacy Controls Audit
- Conducted Vendor Security Audits

Apr 2012 –
Feb 2018

Lead Enterprise Architect / Chief Security Officer / New York MMIS
Java/JEE, Blaze, IBM WPS, IBM ISAM/ITAM, IBM Portal, IBM Application Server

- The NY-MMIS implementation of the Health Enterprise System was designated as a Xerox CEO top project.
- In order to ensure success of this project, a Tiger team was formed to oversee key areas of this project. As part of this Tiger team, I am responsible for overseeing all Security aspects of this project.
- Direct reports include the Security Information Officer, Security Architect Development Manager, Data Center Compliance Manager, and the Development Security Product Owner.
- As Chief Security Officer, I oversee the documentation, development, testing, and certification of the Health Enterprise application.
- Highlights include the development of the security policies, procedures, and processes required by the state, overseeing testing and controls of application and data centers, and working with the development team to implement multi-factor authentication controls within the application and environments.
- Additionally, I oversaw the installation and configuration of the Verizon SEIM toolset and network monitoring devices in our Development/Testing Data center as well as the configuration of the IBM QRadar SEIM tool in our Production and Disaster Recovery Data centers.
- Additionally, we performed security code and system vulnerability scans and made recommendations surrounding system hardening from both application and network standpoints.
- Finally, I worked with both state and development teams to handle any security incidents, including development and oversight of corrective action plans, as needed.

Health Enterprise – Enterprise Architect (Strategy and Direction), Java / JEE, Blaze, IBM WPS

- As a Platform Enterprise Architect, I am responsible for the Technical Direction of the Health Enterprise platform. This includes Hardware recommendations, third-party tool evaluation and recommendation, Core code standards, Product Roadmap across implementations, and Compliance with external standards such as MITA.
- My daily responsibilities include overseeing application enhancements focused on code quality and scalability, overseeing Design, Development, and Implementation (DDI) teams for New York and Montana, working with Sales and Marketing on future Request for Proposals (RFPs), and helping to establish full software development life cycle best practices, process and procedures, and support for multiple architecture teams.
- From an architecture standpoint, I am primarily responsible for the Migration from JSP/Portal UI to a new Mobile compliant UI (AngularJS, Backbone, CSS3, HTML5). This includes working with a focus group of system exerts, evaluating platforms, establishing scope requirements, evaluating security risk and remediation, and tracking and reporting to senior management.
- Additionally, I am responsible for the Architectural direction of migrating the Health Enterprise Platform to a Dynamic Module Design. This would allow Health Enterprise to respond to a wide variety of Module definitions between RFP and Industry Mandates. This is primarily in response to the CMS rule change surrounding the definition of Modularity within the CMS Seven Standards and Conditions.

Integrated Enrollment System – Application Development Manager/Chief Solution Architect, Java/JEE, Drools, Bonita, HTML5, jQuery, AJAX, SQL, CXF, OSGi

- For this position, I was tasked with modernizing the Tennessee VIP Core framework including multi-platform support, Internationalization, Module/Component based API/SOA design modifications, SaaS distribution support, and Dynamic Process Flow/rules management.
- During this project, I was responsible for developing the prototype site showcasing the technologies and flexibility of the platform recommendations, establishing the short- and long-term roadmap, and negotiating requirements.

Tennessee VIP System Implementation – Application Development Manager / Chief Solution Architect, Java, CXF Services, JAXB, SONAR, SQL
- For this project, I served in two primary capacities. First, as the senior development manager, I was responsible for the planning, tracking, and delivery of day-to-day development activities.
- This included managing a development team of 30+ developers, 5 Lead Developers, and 4 build quality resources. Additionally, as the lead solutions architect, I was responsible for application and development process improvements, quality delivery, and application architectural recommendations.
- Throughout this project, we consistently met or exceeded the deadlines and milestones placed to the development team.

Mar 2011 – Apr 2012

Dental TRICARE Project – Compliance, Consultant, IT Technical Lead, Java, JSP, Velocity, SOAP Services, JAXB, DOM4J, JavaScript, HTML, SONAR, Struts, SQL / TEKSystems, MetLife eBusiness
- Technical lead for the Employee Dental Web Application. Responsible for the architecture and design of new elements of the existing application for TRICARE. This application was required to conform to US Government Security Standards. Utilized Sonar and Veracode to ensure compliance.
- Set up automated code review for the entire eBusiness Dental Web application portfolio, six applications in total, to ensure compliance with MetLife and Government compliance. Installed SONAR as a proof of concept platform. Introduced Maven build manager to allow for easy validation of jUnit Tests and SONAR compliance scans. In this capacity, I was responsible for the compliance and code quality initiative for TRICARE.

2008 – 2011

Pfizer/Capsugel Silent Sign-on Project, HTML, jQuery, AJAX, MS SQL, Java, REST Services (RESTEasy), SLF4J, SQL / JavaQuest Consultant, Owner
- Designed, developed, implemented a Silent Sign on application between Capsugel and a third-party vendor for training software.
- The application required gathering the Current Windows user id from the Kerberos Ticket, determining if the user is an individual or KIOSK user, validating for individual credentials if on a KIOSK, generating an encrypted trust key, and redirecting to the third-party vendor on successful validation.

IntroMojo, Java, Hibernate, jQuery, AJAX, MySQL, Java, REST Services (RESTEasy), .NET/C#
- IntroMojo was a startup company that scanned over 50 social networking sites and created a dossier on individuals for sales contacts.
- As part of this application, users could search on various search criteria to find dossiers.
- I was responsible for this piece. Originally designed as a Java application, we changed to .NET for production.

Feb 2006 – Dec 2008

IT AD Manager, Integration Competency Center, WebMethods, WebSphere Message Broker, Java, SOA / MetLife
- Responsible for the establishment and rollout of the MetLife Institutional Integration Competency Center
- This department was established to coordinate, design, and develop multi-application integration hubs between MetLife Institutional Applications as well as governance surrounding the MetLife Service Oriented Architecture
- Managed and coordinated 60 Integration projects and 3 full applications
- Managed a development team of 3 business analysts and 7 developers
- Onsite Event Management System
- Java, Portlets, SOAP Services, SQL, DB2 UDB, Struts
- Managed development team and provided Application Architecture guidance surrounding the OEMS application
- This application supports the coordination and tracking of MetLife Human Resource Fairs

EDUCATION and CERTIFICATIONS

High Point University, High Point, North Carolina, BS Management of Information Systems
Davidson County Community College, Lexington, North Carolina, AS, Computer Programming

PROFESSIONAL ASSOCIATIONS and AWARDS

Cambridge Who's Who of Executives and Professionals

RONALD R SCHRIMP, SR

PROFESSIONAL SUMMARY

Proven business leader and information security executive across the spectrum of infrastructure, business, and operations with a successful 28-year professional track record in the public and private sector delivering positive results in enterprises ranging from medium to global operations. Successfully created strong healthcare information management and information security foundations upon which to build strategic technology solutions in the healthcare industry, working with chief executives, customers, and peers to transform the performance and outcomes at the enterprise level while reducing operational costs. My philosophy is to build strategies that tackle operational needs first while maintaining a focus on long-term strategic and flexible foundations for sustainable growth in healthcare Information Security and Compliance.

CORE COMPETENCIES

- Rebuilding underperforming teams to maximize their intellectual capital
- HITRUST CCSFP certification
- GDPR and new regulations to support compliance
- Managed the HITRUST certification and remediation efforts for CVSH
- Security, compliance, and privacy management and execution
- Enterprise security architecture
- Risk management assessments based on state and federal guidelines
- Healthcare risk/security assessments
- Data center and infrastructure management
- SIEM management including Verizon, Akamai, and IBM QRadar
- Significant experience in National Institute of Standards in Technology (NIST) – Security and Privacy – SP800-53a Rev 4 and Rev 5, and HITRUST compliance
- ISO 27001,27013
- SOC2 type 2 auditing
- Federal standards compliance and management including IRS and CMS
- Regulatory compliance and remediation
- PCIDSS and DFS standards
- Disaster recovery planning (BCP/DRP)
- Emergency/incident response and threat planning
- Extensive experience in NYS policy and law relating to healthcare privacy
- Enterprise risk management and data governance
- IRS Pub 1075 Standards
- Data Loss Prevention (DLP) and Data Release Management (DRM)
- US Navy Veteran with honors, specializing in submarine warfare tactics
- HHS HCIP practices
- CIS Benchmark v10

PROFESSIONAL EXPERIENCE

Mar 2018 – Present

Director, Information Security / PlanIT Group

Recruited by PlanIT to provide information security oversight and build out the Puerto Rico MMIS and PREE Security program

- Key accomplishments worthy of notation:
    - Aligned the Puerto Rico Department of Health (PRDoH) PR Medicaid Enterprise System to several regulatory information security standards. This includes NIST 800-53a Rev.4/5, MARS-E 2.0, and IRS Publication 1075. As part of my role, I was accountable to:
        - Build the enterprise foundational services and compliance where we implemented 16 Enterprise Core Policies, Standards, and Procedures to align across the PRDoH, cloud service providers, and all business partners associated with the program.
        - Implement the Incident Response Program in accordance with federal and state requirements.
        - Build and validate the program System Security Plan and the IRS Pub1075 SPR in collaboration with our third-party independent assessor.
        - Act as a representative/advisor to guide functional areas such as MMIS and PREE to offer opinion of regulatory statutes and guidelines.

- Provide oversight and guidance to the PRMMIS Information Security Officers for MMIS and PREE.
- Established a methodology to prepare the PRDoH MMIS and PREE for the CMS and IRS audits to achieve their ATO and ATC.

Jul 2017 –
Mar 2018

Senior Advisor, Policy and Compliance Management / CVS Health (CVSH)

Recruited by CVS Health to build out and implement enhancements to the risk management strategy and assessment methodology, using several regulatory and non-regulatory standards.

- Key accomplishments worthy of notation:
  - I was assigned to the Information Security Risk Management Group. In this role I was given the task of maturing their ISRM strategy. Within my first 3 months of tenure, I redesigned their methodology to incorporate core standards that addressed the Enterprise IT group, third-party risk management, and cloud compliance. This new strategy used a scorecard system that rated compliance to HIPAA, ISO, PCIDSS, NIST, and SOX for both the PBM and Retail lines of business.
  - As a result of this new methodology, the Information Security Risk Management Group was able to reduce human capital efforts for risk assessments by approximately 23% in the first 6 months, allowing staff to address a greater amount support to the enterprise.
  - This methodology eventually was incorporated into their M&A process.
  - In August of 2017 I was asked to review and make recommendations to enhance the Minimum-Security Baseline (MSB) process and standards; the results of this effort yielded a roll-out of new MSB process across the enterprise.

Feb 2016 –
Nov 2016

Compliance Deployment and Management / Xerox

Recruited by Xerox to assist in developing an enterprise policy strategy to align with the state and federal requirements for the implementation of the new NY Medicaid Management Information Systems (NYMMIS).

- The original milestone was to deliver the policy strategy along with the policies to support the NIST 800-53a Rev.4 Moderate standard. This policy and compliance program also included the New York State Information Technology Standard (ITS) for which the enterprise policies needed to incorporate. This represented over 1076 security and privacy controls implementation and oversight. After delivering the strategy in a short timeframe, I was asked to take over managing six data centers to ensure each would be compliant with the system designations. These data centers included IBM, ATOS, and Xerox facilities.
- Key accomplishments worthy of notation:
  - Managed an underperforming information security architecture group and within 4 months restructured the team and delivered the first set of 18 policies across the NYMMIS and State Level Registry (SLR) subsystem.
  - Overall reduction of resource effort and headcount to deliver the Security Plan, Policies, and evidence-based Procedures and full Moderate-Plus compliance for the primary data centers managed by Xerox.
  - Introduced a new format to track progress of the development of the policies and procedures in the form of a dashboard, resulting in more efficient means to manage resources, time, and delivery schedules. As a result, the client was able to gain better insight into the progress of the program's information security strategy and policy management. This reduced reporting time and overall cost during the implementation.
  - Implemented a formal automated compliance matrix for the efforts around the six data centers that resulted in better insight into the gaps, and a reduced effort to satisfy the requirements for the IBM DCs and the ATOS.
  - Directed required multi-server integration and hardening standards across six data centers in support of federal and state standards as well as integrated the required CIS-Benchmarks to align with security and privacy standards.

- Implemented and directed the integration of the two SIEM platforms (IBM and Verizon).
- Implemented a "write once, use many" model that enabled the team to develop core baseline policies across the spectrum of the program which enabled the team to manage a single set of core policies without duplication and direct more of their attention to the actual procedures specific to the NYMMIS HE, as well as the subsystems connected to it. This resulted in a lower cost and time of delivery to Xerox as well as NYSDOH-OHIP.
- Oversight and audit management of the State Level Registry (SLR) for provider services and reimbursement.
- Reduced overall cost and effort of the risk management and audits by implementing various burndown charts that calculated various scenarios of effort to eliminate cost overruns associated to these risk and audit assessments. This resulted in early detection of non-compliance, which allowed for collaborative efforts between the external entities and business operations.
- Achieved full compliance of the managed six data centers within 6 months in support of the program for compliance of over 443 security controls and operational procedures, while reducing the headcount to manage these activities.
- Developed the program Incident Response Strategy which included collaboration with IBM, Xerox Corporate, and NY State incident response group. (EISO).
- Implemented the strategy for the SEIM platforms for IBM and ATOS within 3 months that enabled the state to begin loading data and accessing the information in a secure manner and allowing for auditing of access and usage. This included QRadar and Verizon Security Information and Event Management (SIEM) tool.
- Provided guidance and collaboration with Xerox Contract Administration for new partner integration to the NYMMIS platform.
- Developed the Vendor Certification Program (VCP) in accordance with NYS standards for compliance of security and privacy. This resulted in lower cost of management, and increased efficiencies to audit the vendors.
- Performed and managed significant gap analysis of the Xerox HITRUST compliance.

Feb 2012 – **Information Security Officer** / NY State of Health (NYSOH)
Feb 2016 Joined the NYSOH in the early stages of ACA implementation for New York, in collaboration with New York State ISO; created and collaborated with both the IRS and CMS to build the first fully operational security and compliance program which led to NYS being the first state in the United States to receive their Authority To Operate (ATO) and Connect (ATC) in 2013 as a result of the Operational Readiness Review (ORR) performed by both federal agencies.

- Overall accountability for building the Security Strategy and Program for the NY State of Health Marketplace.
- The strategy and information sharing controls I designed resulted in zero breaches, accidental disclosures, and data leakages over a 4-year span.
- Reduced contract administration efforts by 20% by aligning all agreements, contracts, and ISAs for all partners. This was also achieved by the development of federal and state requirements contained within the respective agreements, thereby reducing contract turnaround by 30%.
- Institutionalized measures in order to safeguard sensitive information in accordance with ACA, HIPAA, and HITECH standards.
- Implemented a standard RMF process to oversee and audit the NYSOH Enterprise Risk and Data Management (Governance) in collaboration with NYSOH Legal Affairs and business leaders. This reduced manhours and costs by 25% by enabling a standard set of processes and audit standards consistent with NIST RMF.
- Implementation and enforcement of IRS Pub 1075 and several NIST standards to comply with ACA requirements and NYS compliance.
- Development of the Akamai boundary services model and implementation to ensure a multi-layer protection and IDS/IHDS.

- Established and maintained the information security standards and procedures in compliance with state and federal information security and risk management policies, standards, and guidelines. This enabled the program to reduce costs for penetration and vulnerability assessments on an annual basis by 25%.
- Coordinated information security efforts and regular internal audit in collaboration with the NYSDOH Legal Affairs Group.
- Responsible to coordinate the development of the NYSOH Disaster Recovery and Business Continuity plans for information systems and tests readiness.
- Implemented a standard security incident response program that was used across multiple systems and eliminated extended investigation and Corrective Action Planning costs by 15%.
- Working with CSC, managed the HITRUST implementation against several state and federal mandates.

Sep 2011 –
Jan 2012

Managing Consultant / MVP Healthcare
- Designed the strategy plan for Data Loss Prevention (DLP), data release management, and development of an enterprise risk assessment program, reducing operational costs by 35%.
- Developed a strategy for the implementation of comprehensive cyber security controls, Data Loss Prevention (DLP), security awareness education and training, and comprehensive data de-identification and encryption.

2008 – 2010

Chief Data and Security Officer / United Health Group/Ingenix
- Maintained accountability for new enterprise security architecture, driving operational cost down by 22%.
- Restructured the Data Security and Governance organization and reduced operating costs, including headcount, by 12%.
- Implemented best practices in data stewardship, ensuring that our information and processes continue to be reliable, verifiable, auditable, and sustainable.
- Designed the cyber security and control model for the enterprise, which governed the operational review and release of data to customers, vendor partners, and regulatory agencies.
- Accountable for ensuring all client customer data was governed by various compliance requirements including SOC, SOX, ARRA, HIPAA, and NIST, and reducing potential accidental disclosures by 20%.

Jan 2006 –
Jan 2008

Chief Enterprise Architect / United Health Group/Ingenix
- Responsible for all architecture innovations and delivery of standards and best practices including the enterprise architecture framework (TOGAF), and drove innovation across the company enterprise.
- Responsible for capital expense reviews of all hardware and software expense and eliminated about 11% of the overall maintenance budget.
- Transformed the global data warehouse platform from DB2 to Teradata in 2 years and moved them from a conventional DB2 platform to MPP architecture, reducing operating costs by 15%.
- Designed a Self-Contained Unified Business Analytics Architecture (SCUBAA©) platform that moved from application-based platforms to a service-based model. This enabled the company to share data and applications across multiple platforms and reduced development costs by 11% overall.

Nov 1997 –
Jan 2006

Solutions Executive (2005 – 2006) / The TriZetto Group
- Provided guidance on implementing advanced technologies for the sales and marketing team.
- Accountable for the review and potential revenue generation and product review to the corporate M&A group.

- Assisted sales in presenting Information management strategies and architecture to "C" level staff during the sales cycles.

Vice President of Applied Business Intelligence (2001 – 2005)

- Provided guidance and thought leadership in Applied Business Intelligence solutions for Care Management, Consumer Directed Health, and Government Programs for the TriZetto Group.
- Responsible for providing input and direction for the five strategic product areas at TriZetto which included analytics, reporting (operational and analytical); held several management positions including running two Profit and Loss (P&L)s, one R&D cost center, and one professional services group.
- Built a BI consulting practice around analytics that yielded $2.4M in revenue in the first year.
- Built the practice to include 10 consultants that were highly specialized in care management and provider services analytics.

Director of Information Intelligence (1997 – 2001)

- Responsible for building out a new information center for our clients. This included a major overhaul of the client data warehouse called InfoMedic and reduced operating costs by 25%.
- Provided input and direction for the company's analytical products and consulting toolkits services as well as provided strategy consulting for C-level HealthCare executives.
- Responsible for overseeing and managing several key partnerships for TriZetto including; Microsoft, Business Objects of America, Ingenix, IHCIS, FairIssac, Oracle, and COGNOS.

EDUCATION AND CERTIFICATIONS

Attended several colleges throughout civilian and military career, which include Pace University and Virginia Beach Community College (during my active duty with the US Navy)

PUBLICATIONS

- Executive Health Data Management - Information Management in the new healthcare world (August 2004 and September 2005)
- EIMI Magazine - Developing A Lifecycle Management Plan In Healthcare and The Challenges Of Healthcare Information Management In 2009
- "Transforming Data Into Intelligence That Works" – Managed Healthcare Executive magazine
- "New changes in Distributed Knowledge Management Architecture in Healthcare" – Collaborating with Bill Inmon of IDS Data Systems.
- "Legacy-to-Web" – A collaborative white paper with the NYS Center for Technology in Government. 1996

MILITARY HONORS

- Navy Meritorious Unit Commendation
- Navy Expeditionary Medal
- Navy Good Conduct (with Honors)
- Surface Warfare Designation
- Navy Air Warfare Designation
- Navy Sea Service Deployment (with Honors)
- Navy Unit Commendation (with honors)

EDWARD BARNETT

PROFESSIONAL SUMMARY

Accomplished Program Manager with a strong affinity for both technology and the business sense for the application of emerging technology and business process re-engineering. Below are a few of my accomplishments:

- With over 20 years of experience managing medium to large ($1 - $120 million) complex projects, I have successfully managed the implementation of Healthcare and Medicaid projects (MMIS, Data Warehouse, Healthcare Information Exchange/HIE) ensuring that these applications adhere to federal and state regulations
- Proven experience in proactive managing programs/projects successfully on schedule and on budget across multiple industries:
  - Healthcare/Medicare and Medicaid
  - Human Resource/Payroll Services
  - Retail
  - Financial (Banking, Financial, Insurance)
  - Accounting
  - Airline/Travel
- Extensive experience managing projects utilizing both onsite and/or offshore resources to maximize project efficiency and profit by utilizing Agile, Waterfall, and Hybrid methodologies
- Traveled to India on multiple occasions to perform software vendor assessments to assess Project Management and Software Development skills and ability
- Proven talent for identifying core business needs and translating into technical deliverables

CORE COMPETENCIES

- Experienced in managing the High Profile, High Risk Programs/Projects
- Mergers and Acquisitions (M&A) Programs
- Accounting/Finance Business Process and automation (GL/AP/AR/Cash flow)
- Program and Product Management
- Business Process Improvement
- Vendor Contract Negotiation and Management
- Mobile Business Strategies
- Resource Planning and Development
- Project Budget creation and tracking
- Offshore Vendor Planning and Assessment of Project Management Abilities
- Business Intelligence/Data Warehousing Implementations
- Full Project Life Cycle and Methodologies
- Microsoft Enterprise Project Management Tools

- Microsoft Project
- MS Excel, Word, Visio, PowerPoint
- Web-based Application Development
- Agile, Waterfall and Hybrid Methodologies
- Mobile Application Strategy and Development
- AWS Cloud Technologies
- Infrastructure Builds
- Data Center Migrations/Implementation
- Oracle Business Suite
- Oracle Business Intelligence Enterprise Edition (OBIEE)
- Oracle Financial and Budget Planning
- Oracle Performance Management Cloud Solutions (FCCS)
- Ecommerce
- Legacy to Java or .Net Migration
- Data Warehouse Development

PROFESSIONAL EXPERIENCE

June 2019 – Present | **PlanIT Group**
Sr. Project Manager / Intervoice PR (Puerto Rico Medicaid)
- As the PMO Sr. Project Manager, I work closely with the MMIS and E&E project teams on the implementation and integration of the applications in coordination with the Puerto Rican Medicaid

- Worked closely with account leadership, the functional/matrix managers and staff to ensure that projects are delivered on schedule and consistent with defined Program Management Plans/Procedures along with managing client expectations
- Support the Client Leader/Managers to maintain the client relationship and mentor new project managers
- Worked closely with CMS and IV&V on ensuring that the project teams are adhering to the guidelines and to the Project Management Plans in building out and maintaining the IMS and management processes

Sr. Project Manager, IBM Watson Health PMO / Georgia Department of Health (Client)
- Manage a team of Workstream Project Managers to implement a Data Warehouse/Business Intelligence solution for the Georgia Department of Community Healthcare, which will provide the functionality and capabilities to meet the demanding and ever-changing needs of today's healthcare environment
  - Incorporate data from at least 85 data sources, including Medicaid data from the GA MMIS
  - Implement suite of Business Intelligence (BI) tools which will provide decision support, enhanced clinical data analytics, and tools for population health management
- Coordinate the team of business client and workstream technical leads to ensure that dependencies are identified and updated in the project schedule
- Managed the development of Project Management Plans along with the Integrated Management Schedule (IMS) for Medicaid MMIS and E&E to include the following workstreams:
  - Planning
  - Requirements
  - Security (HIPAA, NIST, HITECH, CMS)
  - DDI
  - CMS Certification
  - O&M
  - Admin

June 2018 – May 2019
Sr. Program Manager, Project Management Office (PMO) supporting M&A / Mauser Packaging
- In support of a US Corporation acquisition of a Germany-based Corporation, successfully implemented a streamlined Accounting and Financial process utilizing Oracles Enterprise Performance Management suite of products (FCCS) across the global Accounting team
- Engaged Executive Leadership and global Business Teams to build out a team of both Business and IT resources to identify the Requirements and translate them into tracks of projects to meet the goal of creating a standard reporting process
- Built relationships with key stakeholders across the US and Europe to understand their objectives and ensure that the new solution will meet those objectives
- Managed team of multiple Project Managers located across US and Europe ensuring effective communication and quick issue resolution

Aug 2017 – June 2018
Program Manager, Project Management Office (PMO) supporting M&A / Change Healthcare
- In support of the Merger and Acquisition by Change Healthcare, I successfully implemented a single client portal to improve customer support, customer touch, marketing and sales for each of the business lines across the Enterprise
- Worked closely with Executive Leadership on developing a business and IT strategy for implementing an Enterprise client portal for each of the Business Lines to use to interact with their clients, market products, collect analytics and improve customer touch and support

- Implemented Project Management structure and methodology and successfully led the implementation of Client Portal and Community Program
- Managed team of both Business and IT on the delivery of the overall program in accordance with the mission and the goals of the organization
- Developed marketing and onboarding strategy based on customer analytics
- Worked closely with the Project team to develop the Operational Governance structure to support the Client Community Operations

Feb 2016 –
Aug 2017

Program Director, Merger & Acquisition/Integration PMO / ResMed, Inc

- Established Program Management Office to support the merger and acquisitions program
- Implemented Project Management structure and methodology to manage multiple integration projects across both the Business Workstreams and IT
- Planned and managed the delivery of the overall program and sub projects in accordance with the mission and the goals of the organization (Client)
- Identified the synergies and dis-synergies between the companies to streamline the business and ultimately improve profitability
- Managed team of Project Managers and supporting staff in providing structure and support for loading projects to succeed
- Successfully delivered integration programs utilizing PMI methodologies and communication to drive both business and technology projects
- Healthcare Sales and Marketing analytics derived from merged customer data
- HRIS functional and technical Integration
- Back office functional Integration
- Marketing and Sales Strategy Integration
- Infrastructure Integration
- Risk Assessment and Remediation

Mar 2015 –
Feb 2016

Sr. Program Manager, Program Management Office / ADP, LLC (Client) TotalSource HRIS Program

- Collaborated with Senior Management to established Program Management structure and document Program Scope into a Program Charter to gain buy in from both Business and IT including the following:
- Scope Management/Change Control Process
- Costs, budget, and schedule development and management across multiple projects
- Issues/Risks Management
- Communication Plan
- QA Plan to ensure delivery of Product based on Requirements
- Worked closely with Marketing Team on developing Marketing strategy and campaign on launching ecommerce website for new clients and migration of existing clients
- Marketing Development
- Customer Support from pre-implementation through post implementation
- Training Material Development
- Collection and Review of Client feedback
- Oversaw the implementation of the HRIS Data migration utilizing automated data migration tools to minimize the duration of the migration, impact of the migration to internal staff, and to reduce aggregate downtime

Nov 2013 –
Mar 2015

Sr. Program Manager, PMO Hyperion Program / Carter's, Inc. (Client)

- Managed top tier Enterprise Accounting and Finance Business Process Re-Engineering Program to identify the major Risks and Issues and successfully got the project back on track to meet the deadlines and within budget
- Identified Risks and Issues and proactively managed to minimize project roadblocks and drive to completion

- Oversaw the design and development of the Infrastructure to support the Hyperion and Oracle Application Suites
- Managed Enterprise Business Planning Program (EBPP) by implementing Hyperion Financial and Business Planning systems to support Carter's budget and planning requirements
- Workforce Planning
- G &A Planning
- Capex Planning
- Licensing Planning
- Wholesale Planning/Pace
- Hyperion Strategic Finance (HSF)
- Hyperion Financial Management (HFM)
- Financial Close Manager (FCM)

Mar 2013 –
Nov 2013

Sr. Program Manager / Blackboard, Inc., (Washington DC – Client)

- Worked closely with Executive Team and PMO to build out program/project structure to provide and manage the following
- Build out Program and Project Teams
- Provides project governance
- Determines project methodology
- Grants approval for progression
- Drive change to business policies and procedures in support of the project
- Resolve critical and cross business issues
- Managed 6 Project Managers to ensure each executes projects in compliance with program methodology, policies, procedures and controls
- Facilitate escalation of project matters to senior program manager and program director
- Ensure program requirements (operational and project) are completed in accordance with program standards and timelines
- Review and validate accuracy, completeness, and maintenance of project plans, weekly status reports and deliverables

Mar 2012 –
Mar 2013

Program Manager, M&A/Integration PMO / Allscripts, Inc.

- Managed team in a series of Business Process and Systems re-engineering projects focused on integrating and transforming multiple business process streams for increased revenue and sustained growth enabled by core go-forward corporate systems involving:
  - E-commerce Redesign/Client Experience Portal – Ecommerce Application development project to streamline Client marketing and management by implementing single sign-on for client portal for access into multiple client facing applications
  - Ecommerce/Client Portal launch with Client Single Sign ON (SSO)
  - LMS
  - Client access to tools and products
  - Data Warehouse/BI Reporting Implementation – Program which consolidated enterprise Business Intelligence (BI) reporting by implementing the Oracle Business Intelligence Enterprise Edition Plus (OBIEE+) platform, which includes OBIEE and Hyperion, as an overall reporting platform integrating with SFDC and other applications
  - Infrastructure Build to support Data Warehouse/BI Reporting
  - Applications/Data Integration Design to pull data from various data suppliers
  - Oracle Account Payables integration with Wells Fargo e-Payables web application
  - Learning Management System – Implemented SABA LMS web application
  - Manage team of 8 Project Managers located across US and India ensuring effective communication and quick issue resolution

Nov 2010 –
Feb 2012

Program Manager / Delta Airlines, Inc. (Client)
- Successfully managed $34 million Program consisting of multiple projects migrating Airline Call Center Reservation applications from JAVA Swing to GWT/Java utilizing Service Oriented Architecture (SOA)
- Provided Executive Management and project team with weekly Program Dashboards Status Reports
- Managed team of Project Managers located across US and India ensuring effective communication and quick issue resolution
- Worked closed with Enterprise Architecture team to implement infrastructure required to support the highly integration Call Center and Website applications/data
- Coordinated the development, consolidation and subsequent tracking of streamlined workplans, consolidating key issues, consolidating risks and ensuring appropriate risk avoidance and mitigation strategies are employed

Mar 2009 –
Nov 2010

Program Manager, Voyager Program / SITA, Inc. (Client)
- Managed program consisting of multiple projects migrating Airline/Travel applications from mainframe to JAVA platform utilizing the Service Oriented Architecture (SOA) and Oracle Suite of Products
- Managed team of Project Managers, Business Analysts and Developers located across London, US and India ensuring effective communication and quick issue resolution
- Coordinated the development, consolidation and subsequent tracking of streamlined workplans, consolidating key issues, consolidating risks and ensuring appropriate risk avoidance and mitigation strategies are employed

July 2006 –
Mar 2009

Program Manager, Enterprise PMO / ACS Xerox, Inc.
- Part of Program Managers hired to manage and mentor team of Project Managers in $120 million software development Program for a state-of-the-art healthcare claims processing system developed to primarily service the State Medicaid program administration market utilizing .Net and Oracle Suite of Products
- Worked closely with client team and project team in ensure constant collaboration with client and managing expectations of project goals
- Managed Onshore/Offshore Vendor project team to ensure that the vendor model works successfully with the current corporate organizational structure
- Traveled to Offshore Development Vendor facility to assess their ability to manage and deliver according to the agreed upon SOW deliverables on time and within budget
- Oversaw the creation and linking of multiple project workplans on MS Project Server to create an overall program workplan that clearly defines the critical path, dependencies, risks, and issues

Oct 2003 –
June 2006

Project Manager, Enterprise Information Systems / SunTrust Bank
- Oversaw the implementation of multiple medium to large scale projects involving web-based software development throughout the full cycle project life cycle
- Worked cooperatively with the Architecture, PMO, and Delivery Teams to ensure project management, software, testing, QA, and other standards and procedures are aligned and integrated within the project methodology
- Managed the first SunTrust project involving contracting with offshore .Net software development vendors
- Developed quality and risk management plans and conduct project reviews
- Served on the SunTrust PMP Advisory Council to support the continuous improvement of project management at SunTrust

Additional Experience Provided Upon Request

EDUCATION and CERTIFICATIONS

Project Management Professional (PMP) Certification
Vanderbilt University Graduate School of Banking, Graduate Degree of Bank Operations and Technology
Troy State University, MBA
Auburn University, BS in Accounting

PROFESSIONAL ASSOCIATIONS

PMI, Project Management Institute
Atlanta PMI Chapter