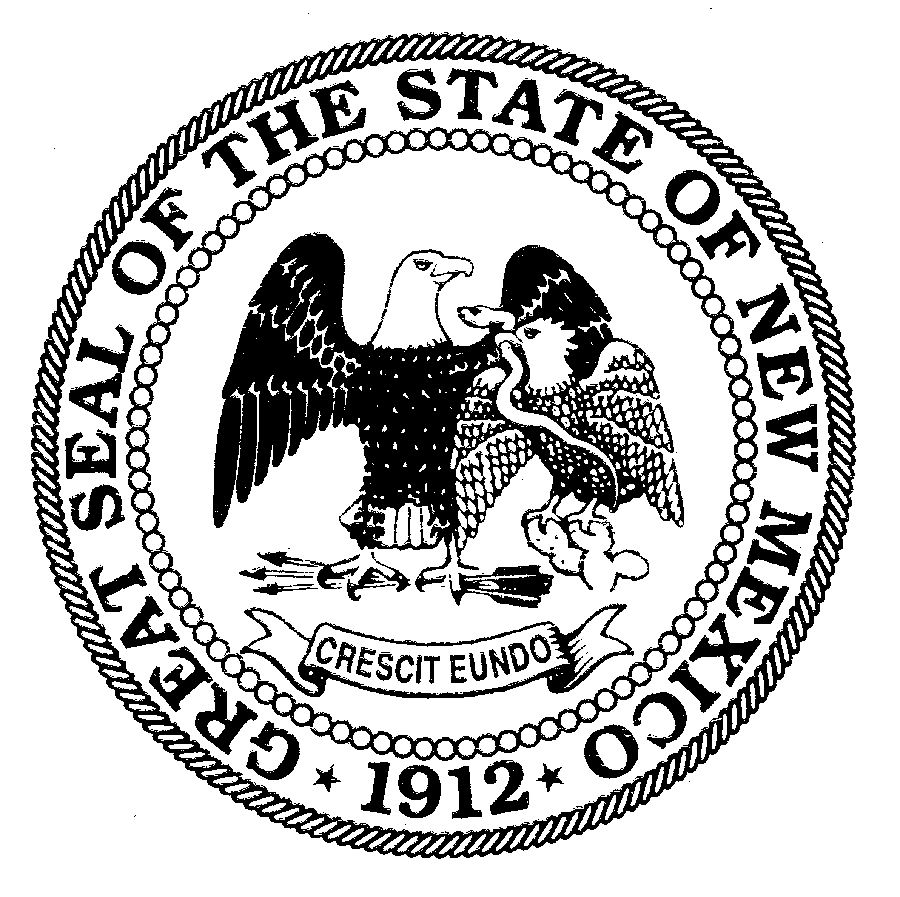
STATE OF NEW MEXICO

Workers’ Compensation Administration

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REQUEST FOR INFORMATION

RFI# 23-632-P697-00001

**Workers’ Compensation Electronic Data Interchange (EDI) Claim Management**

Issue Date: Friday November 18, 2022

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# I. INTRODUCTION

## A. Purpose of this Request for Information (RFI)

This request is to obtain information from qualified vendors to provide and host an Electronic Data Interchange (EDI) system for receiving submissions of Workers’ Compensation Claim EDI files and passing the data to New Mexico’s Workers’ Compensation Administration (WCA) databases. WCA is seeking a reliable, consistent and secure vendor system that is flexible and allows for consistent secure data flow for all those submitting EDI claim information to WCA. WCA business processes require daily access to the information submitted in EDI files and will require any vendor to give secure role-based access to WCA to the data as it is received. Additional details are found in Section B (General Information) and Section IV below on the kind of system WCA is seeking information about.

All stakeholders are encouraged to respond whether they intend to respond to any additional solicitations that may be issued in the future. Comments from the public at large are also invited.

WCA may follow-up the receipt of written vendor responses with additional emails or virtual meeting(s) to solicit additional information for purposes of clarification. Please feel free to share this RFI with anyone you believe may be qualified to respond.

## B. General Information

Currently WCA handles EDI submissions through the more widely used method of electronic transfer of EDI flat file format and through a portal on WCA’s own website for those not participating in the electronic transfer method. Some EDI submitters only have a few submissions per year, so they submit their EDI files through a web portal rather than trying to set up a daily submission method.

In 2020, New Mexico’ s population was 2.12 million. The three largest cities, Albuquerque, Santa Fe and Las Cruces had populations of 562,581; 85,627; and 104,672 respectively. The Albuquerque Metropolitan Statistical area has a population of 914,480 (2020). The state has 33 counties.

Between 2013 and 2020 NM Workers’ Compensation Claims ranged between approximately 14,000 and 20,000 Indemnity and Non-Indemnity claims per year. Between 2013 and 2020 NM workplace injuries and rates ranged between approximately15,000 and 20,000 per year. We anticipate in the near future the number of claims could possibly reach approximately 25,000 per year.

WCA receives EDI files from 12 vendors currently on a daily basis with more than 90% submitted by the top two vendors.

WCA currently uses approximately 300 hours of effort per year for employees to process and handle issues with our EDI files.

## C. RFI Manager

The agency has designated a Procurement Manager who is responsible for the conduct of this RFI whose name and email address are listed below:

**RFI Manager:** Gordon Muthigi

Email Address: WCA-Modernization\_Team@wca.nm.gov

All communications with WCA will be through the RFI Manager by email. Do not contact any other WCA employee and no phone calls are allowed.

## D. Terminology

1. “Request for Information” (RFI) means all documents, including those attached or incorporated by reference, used for requesting information or recommendations through a structured, non-binding process from a specific target audience or the general public.

1. “Request for Proposals” (RFP) means all documents, including those attached or incorporated by reference, used for soliciting proposals.
2. “State Purchasing Agent (SPA) means the Director of the Purchasing Division of the General Services Department.
3. “State Purchasing Division” (SPD) means the Purchasing Division of the General Services Department.
4. “WCA users” means the following:
   1. “Registered Carriers” means the insurance carriers which submit Workers’ Compensation EDI Claim files to the New Mexico Workers’ Compensation Administration and are accepted and tested Trading Partners.
   2. “External Users” means the users who submit EDI Claim files through a portal on the NM Workers’ Compensation Administration Website.
   3. “WCA Role-Based User” means the WCA personnel who use applications and reports to interact with the information obtained through EDI Claim files.
5. “Maintenance and Operational Support” or “Maintenance and Support” means all costs associated with the support of the proposed EDI solution excluding onetime and annual licensing costs. This includes help desk support, technical support services, disaster recovery and business continuity, troubleshooting, and analysis.

# II. CONDITIONS GOVERNING THE RFI

## A. Sequence of Events

The RFI Manager will make every effort to adhere to the following schedule:

|  |  |  |
| --- | --- | --- |
| **Action** | **Responsible Party** | **Due Dates** |
| 1. Issue RFI | Procuring Agency | Nov 18, 2022 |
| 2. Acknowledgement of Receipt | Potential Respondents | Nov 22, 2022 |
| 3. Deadline for Written Questions | Potential Respondents | Nov 28, 2022 |
| 4. WCA Response to Questions | RFI Manager | Dec 01, 2022 |
| **5. Deadline to Submit Responses** | **Respondents** | **Dec 09, 2022** |
| 6. Q&A from WCA as needed | RFI Manager | Dec 21, 2022 |

## B. Explanation of Events

### 1. Release of RFI

This RFI is being issued on the date indicated in the Sequence of Events, above, by the State Purchasing Division.

### 2. Acknowledgment of Receipt

The Acknowledgment of Receipt form in Appendix A will be used to indicate the respondent’s intent to participate in and respond to this RFI. The Acknowledgment of Receipt form should be received by 5:00 p.m. Mountain Time on the date indicated in the Sequence of Events, above.

### 3. Deadline for Questions

Questions regarding this RFI must be submitted in writing, by e-mail, to the RFI Manager and must be received by 5:00 Mountain Time on the date indicated in the Sequence of Events, above.

### 4. Response to Questions

Written responses to questions shall be provided to those companies that have returned the Acknowledgement of Receipt form by the date indicated in the Sequence of Events, above.

### 5. Response Deadline

One (1) copy of the RFI response shall be delivered to the RFI Manager by no later than 2:00 p.m. Mountain Time on the date indicated in the Sequence of Events, above. Responses received after the due date and time may not be considered. Responses should be labeled, "Response to RFI – Workers’ Compensation EDI Claim Management ".

### 6. Q&A from WCA as needed

WCA may require clarification of response information before finishing our RFI process.

## C. General Requirements

Submission of a response constitutes acceptance of, and consent to, the following General Requirements:

### 1. No Obligation

This RFI in no manner obligates SPD, the State of New Mexico, or any of its agencies to the issuance of an RFP or to the eventual rental, lease or purchase of any services or equipment that may be described, implied, or proposed.

### 2. Governing Law

This RFI and any subsequent RFP that may be issued by SPD, or any other agency of the State of New Mexico, shall be governed by the laws of the State of New Mexico.

### 3. Clarifications

All requests for clarifications should be directed to the RFI Manager.

### 4. Basis for Response

Only information supplied by RFI Manager in writing, whether on paper or electronically, or in this RFI should be used in the preparation of responses.

### 5. Response Preparation Cost

Any cost incurred by the respondent in the preparation, transmittal or presentation of any response or material submitted in response to this RFI will be borne solely by the respondent.

### 6. Use of Information

The State of New Mexico reserves all rights available to it by law. If an RFP or other type of solicitation results from this RFI, respondents to this RFI are hereby notified that all information, documentation, and any specific content or approaches included in RFI responses will be analyzed, may appear in various reports and may be used in the resulting solicitation. Therefore, do not submit any copyrighted, proprietary or confidential information. The State of New Mexico cannot guarantee the confidentiality of the information submitted.

### 7. Eligibility to Participate in Possible Subsequent Procurement

If the State of New Mexico decides to issue an RFP or other form of solicitation, those parties who choose to respond to this RFI, as well as those parties who choose not to respond to this RFI, will be eligible to participate in that procurement.

### 8. Ownership of Materials

Ownership of all data, material, and documentation originated and submitted to the State of New Mexico, pursuant to the RFI, shall belong exclusively to the State of New Mexico and be subject to public inspection in accordance with the New Mexico Open Records Act.

### 9. Acceptance

The State of New Mexico reserves the right to reject responses that arrive late, or do not meet all the specified requirements.

# III. RESPONSE FORMAT AND ORGANIZATION

## A. Number of Responses

Respondents may submit only one (1) response to this RFI.

## B. Number of Copies

Respondents should provide one emailed copy of their response.

## C. Response Format

After receiving the Acknowledgement of Receipt Form from a respondent, the respondent will receive information from the RFI Manager for secure email submission to WCA. The respondent will be able to submit a PDF/A format document and attachments to the required location.

The respondent’s response to this RFI should be organized in the following format:

1. Acknowledgement of Receipt Form (Appendix A)

2. Response to RFI Requirements

3. Other Supporting Materials/Documentation

Respondents may attach other materials that they believe may improve the quality of their responses.

## D. Page Limit

Respondents are requested to limit their responses to 50 pages, not counting the Acknowledgement Form or any supporting or other pre-printed materials that may be provided.

# IV. REQUIREMENTS

Appendix A - It is required that anyone considering responding to this RFI complete and return the Acknowledgement of Receipt Form at Appendix A to receive secure email instructions and any updates, as they arise.

Appendix B – It is required that anyone considering responding to this RFI complete and return Appendix B. The more detailed responses from the vendors will simplify WCA’s review of the vendor responses to the technical requirements to provide for a secure, flexible data storage and retrieval EDI solution.

## A. Scope of Work

This RFI request is to obtain information from qualified vendors to provide and host an Electronic Data Interchange (EDI) system for receiving submissions of Workers’ Compensation Claim EDI files and passing the data to New Mexico’s Workers’ Compensation Administration (WCA) databases. WCA is seeking a reliable, consistent and secure vendor system that is flexible and allows for consistent secure data flow for all those submitting EDI claim information to WCA. WCA’s business processes require daily access to the information submitted in EDI files and will require any vendor to authorize unrestricted access to WCA to the data as it is received.

The WCA is seeking an EDI solution where the vendor receives the information from EDI First Report of Injuries (FROIs) and Subsequent Report of Injury (SROIs) as defined by the International Association of Industrial Accident Boards and Commissions (IAIABC) 3.1 record schemas.

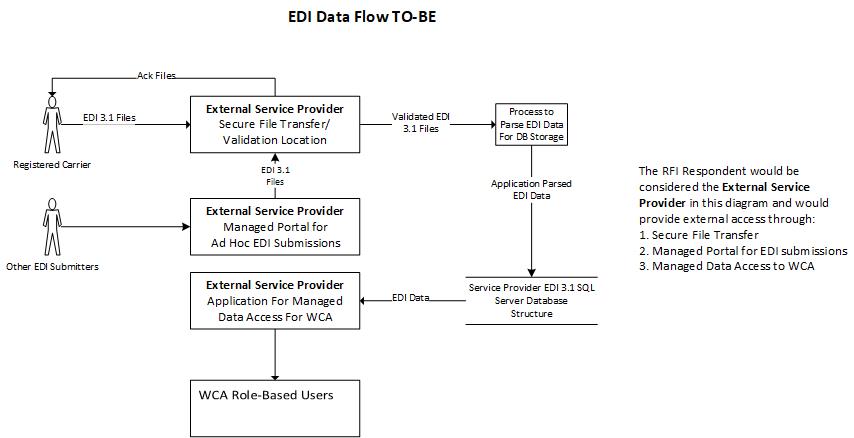
WCA’s minimum desired level of support from the qualified vendor for the proposed new EDI solution includes but is not limited to the following:

* Vendor can receive IAIABC release 3.1 FROI and SROI record files on a daily basis.
  + 148 Records
  + A49 Records
  + R21 (FROI enhancement) Records
  + R22 (SROI enhancement) Records
* Vendor accepts and acknowledges EDI files from submitters and manages those files on a daily basis.
* Vendor works directly with submitters to resolve errors and rejections on a daily basis.
* Vendor parses data mapped from the EDI files to a SQL Server database format daily.
* Vendor allows access to EDI data for WCA reports and applications. User roles and access will be defined by WCA and provided to the vendor who will create and manage system permissions and user accounts.

Important to the WCA is the level of support that may be expected from a vendor.

**Desired Data Flow of Future System –**

The diagram below shows the organization of data that WCA is seeking in a future EDI system. This diagram is provided simply to display WCA’s desired organization of data for a new EDI system and is not the current design for our system.

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## B. Business Responses Requested from the Vendor

Respondents are requested to respond to any and/or all the following questions in narrative form. Additional supporting information may be provided as attachments and may be referenced from the narrative response as appropriate. Respondents are invited to provide additional information as they deem appropriate. WCA recognizes that respondents may have different areas of expertise and interest, so it is not necessary to respond to each item. However, any follow-on request for proposals will require an integrated system, which may require collaborations between vendors. Therefore, complete system responses are preferred to assist us with the procurement of complete integrated systems. Please identify by letter/number, each requested response you are addressing.

1. Are there newer technologies or processes that the State of New Mexico is missing out on due to the description of requirements presented? If so, please describe what modifications would allow such use and what the likely impact of the change would be in terms of capabilities and cost.
2. Are there value-added services that WCA will not receive with the Scope of Work that WCA should be receiving? What are they? What would they cost?
3. Respondents are encouraged to identify topics or issues that respondents believe are important to address in any future solutions and offer input on those topics or issues.
4. What non-price issues are associated with obtaining the “best value” and how should they be quantified for fair comparison purposes?
5. Do you have any suggestion on how we might quantify and fairly compare the value of proposed products and services as it relates to WCA’s Scope of Work?
6. What can WCA do to make it easier for vendors to pass on additional cost savings to WCA?
7. What are the likely timeline limitations for the technology/services suggested in your response?
8. Please provide a generalized price breakdown (such as manufacturer cost, your cost and WCA’s cost) for products and/or services. (A percentage breakdown is acceptable.) Where is the potential cost savings?
9. What changes do you expect in the market in the next 12-24 months that might impact any contract(s) related to this RFI?
10. Given the proposed models, capabilities and prices change over time, how should equipment replacement be handled?
11. Please provide suggestions on cost containment for future procurement.
12. Describe and provide a list of tasks and documents your organization requires in a Transition Plan from WCA if you were to implement a new EDI solution.
13. In the future, WCA may have to transition to another vendor for handling EDI management. To make this transition you as WCA’s current vendor would be required to transfer all the data kept in your managed WCA EDI data storage to WCA including any backups or archives needed for managing EDI submissions in the format required by WCA. Describe the process you would follow for this requirement.

## C. Detailed Responses

1. Please answer the following questions and add as much detail as you can. If you need more room to add information add an additional sheet with more detailed answers and associate your response with the numbered item.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Number** | **Deliverable** | **Yes** | **No** | **Comments (add additional sheet as needed)** |
| **1** | Has your company done similar work for other states? If so, give a brief description of your company's current or past projects involving EDI management/migration and provide client contact information. |  |  |  |
| **2** | Can your company act as a Service Provider for Workers' Compensation EDI Claim file submissions? |  |  |  |
| **3** | Can your company receive IAIABC 3.1 EDI claim submissions from carriers and store and manage those files on an ongoing basis? |  |  |  |
| **4** | Can your company validate IAIABC 3.1 EDI files and resolve errors and rejections with submitters? |  |  |  |
| **5** | As EDI file standards change in the future will your system be able to be modified easily to handle new data and be updateable to the new standard? |  |  |  |
| **6** | Can your company handle all the communication pertaining to IAIABC 3.1 EDI with users external to WCA, including supporting testing? |  |  |  |
| **7** | Can your company allow users to submit EDI files through a web portal managed by your company? |  |  |  |
| **8** | Will your system generate a standard set of reports for EDI submissions? If so, identify the reports? |  |  |  |
| **9** | Is your service cloud hosted and is all information resident in your cloud? |  |  |  |
| **10** | If your service is cloud hosted will the hosted application be in a Health Insurance Portability and Accountability Act (HIPAA) compliant secured cloud hosting environment? |  |  |  |
| **11** | If your service is cloud hosted will the cloud environment be located in the United States? |  |  |  |
| **12** | Does your company’s product or service include handling all of the IAIABC Release 3.1.5 Data Elements? |  |  |  |
| **13** | WCA is currently using IAIABC EDI 1.0. WCA wants to make moving to EDI Release 3.1.5 part of our modernization. Can your company assist with this migration? |  |  |  |
| **14** | WCA uses SQL Server to store all EDI data. If your company stores the data from EDI files in a database that is not SQL Server based, can you map and transform the EDI data to a SQL Server database for WCA use? |  |  |  |
| **15** | Will your company allow access to the EDI data SQL Server database for reporting and application use? |  |  |  |
| **16** | Can your company create canned reports for specific reports the users frequently use? |  |  |  |
| **17** | Can your company create queries for users to search the database for data needed on a regular basis? |  |  |  |
| **18** | Will your product or service allow WCA to change how EDI fields are handled in EDI files as New Mexico makes changes to policies and laws? |  |  |  |
| **19** | Will your company produce and maintain the EDI implementation guide for NM submitters? |  |  |  |
| **20** | Will your system allow for record retention policies to be set up depending on state policies? |  |  |  |
| **21** | Will your product or service require WCA to acquire any software licenses? |  |  |  |
| **22** | Software License: If the software licenses are required will there be a one-time upfront cost to WCA? |  |  |  |
| **23** | Software License: If the software license(s) are required, is it a perpetual license? |  |  |  |
| **24** | Software License: If the software license(s) are perpetual with a onetime upfront cost to WCA, what is the estimated annual fee to receive maintenance, support, and updates? |  |  |  |
| **25** | Maintenance and Operations Support as defined: Describe what support is to be provided for ongoing maintenance and operations support for proposed EDI solution to include the following elements: |  |  |  |
|  | 1. Is there a central operations group for the proposed solution? |  |  |  |
|  | 1. Where is the operations support located? |  |  |  |
|  | 1. Is there to be a local, on-site support? |  |  |  |
|  | 1. WCA requires live business support hours from 7:00 – 6:00 pm MDT, Monday through Friday. Can your proposed solution support these hours? Explain |  |  |  |
|  | 1. WCA requires the system in whole or in part including but not limited to Hosting Services, must have availability for users with 99.95% uptime 24 hours/day, seven days per week, except for planned maintenance. Can your proposed solution support this System Availability? Explain. |  |  |  |
|  | 1. WCA requires live maintenance and operational support by phone. Describe the different methods available to WCA for your proposed maintenance and operational support for the EDI solution? |  |  |  |
| **26** | Technical Support: Define the technical maintenance and support to be provided to WCA Role-Based User, Registered Carriers, External Users to include the following elements: |  |  |  |
|  | 1. Does your proposed solution provide for a ticketing system? |  |  |  |
|  | 1. If your proposed solution does provide for a ticking system, describe the reports that will be available to WCA for viewing? |  |  |  |
|  | 1. Severity Level – Critical: WCA requires minimum response times to High Critical priority issues with an expected time to resolution of 1 hour from the time it is reports/ticket is submitted. Can your proposed solution support this? |  |  |  |
|  | 1. Severity Level – High: WCA requires minimum response times to High level priority issues with an expected time to resolution of 4 hours from the time it is reported/ticket is submitted. Can your proposed solution support this? |  |  |  |
|  | 1. Severity Level – Medium: WCA requires minimum response times to Medium level priority issues with an expected time to resolution of 2 business days from the time it is reported/ticket is submitted. Can your proposed solution support this? |  |  |  |
|  | 1. Severity Level – Low: WCA requires minimum response times to Low level priority issues with an expected time to resolution of 1 week/5 business days from the time it is reported/ticket is submitted. Can your proposed solution support this? |  |  |  |
|  | 1. Describe the different methods available to WCA for your proposed technical support for the EDI solution such as phone, chat, etc..? |  |  |  |
| **27** | Security Breach: Describe your procedure for any major or minor incident, including any breach, and any attack related to the proposed EDI solution/system. |  |  |  |
| **28** | Will there be ongoing fixed costs per year for Application Hosting services? |  |  |  |
| **29** | Will there be ongoing fixed costs per year for maintenance, support, and update services? |  |  |  |
| **30** | Maintenance and Operational Support Costs inclusive of Technical support: Describe pricing methodology for maintenance and operational support to include but not limited to the following: |  |  |  |
|  | 1. What is the estimated annual cost? |  |  |  |
|  | 1. Are upgrades included? |  |  |  |
|  | 1. Are licensing costs separate? |  |  |  |
|  | 1. Is your solution proprietary to you as the Respondent or is it a 3rd party license? |  |  |  |
| **31** | Estimated Cost for the Proposed EDI Solution: List and describe the estimated costs by Year/Annually for your proposed EDI Solution to include but not limited to the following: |  |  |  |
|  | 1. Estimated onetime Cost for any Software License(s)? |  |  |  |
|  | 1. Estimated Cost for any Hardware? |  |  |  |
|  | 1. Estimated Cost for Implementation Services? |  |  |  |
|  | 1. Estimated Cost for any Annual Licenses? |  |  |  |
|  | 1. Estimated Cost for Maintenance and Operations Support to include Technical Support and Problem Resolution? |  |  |  |
|  | 1. Estimated Cost for Hosting Fees? |  |  |  |
|  | 1. Any other estimated costs not already listed that are part of your proposed EDI solution? Explain |  |  |  |
|  | 1. Are there any variable costs such as any costs based on message volume, if any? Explain |  |  |  |
| **32** | What is the level of effort in hours to implement your product or service from executed a contract and starting at kickoff to go live? |  |  |  |
| **33** | How many hours would it take to create a SQL Server database for WCA to access EDI data? |  |  |  |
| **34** | Is your company included on any of the following four procurement vehicles as a primary contractor or as a subcontractor? |  |  |  |
|  | 1. NM State Price Agreement |  |  |  |
|  | 1. GSA Schedule |  |  |  |
|  | 1. Western States Contracting Alliance |  |  |  |
|  | 1. NASPO |  |  |  |
| **35** | If your company is not on any of the four existing procurement vehicle/methods listed above (#34) (a, b, c, d) in place, are you willing to partner as a subcontractor with the primary vendor on any of the active agreements above? |  |  |  |
| **36** | Will you provide training to EDI Submitters? If yes, describe the training. |  |  |  |
| **37** | Will your company provide training to WCA users? If yes, describe the training methodology. |  |  |  |
| **38** | Disaster Recovery: Does your EDI Processing system have well designed and tested backup and disaster recovery procedures? |  |  |  |
| **39** | IT Business Continuity Strategy - Disaster Recovery: If your proposed EDI solution has disaster recovery process, describe the procedures you use? |  |  |  |
|  | 1. Does the proposed EDI solution provide for full backups? |  |  |  |
|  | 1. Is the proposed EDI solution backups encrypted? |  |  |  |
|  | 1. Describe how the proposed EDI system securely protects the backup data so it is not accidently accessed. |  |  |  |
|  | 1. Does the proposed EDI solution provide for multiple geographically distinct regions for disaster recovery and business continuity? Briefly Explain |  |  |  |
|  | 1. Does the proposed EDI solution use multiple data sites and/or available zones for system fault tolerance? Briefly Explain |  |  |  |
| **40** | IT Business Continuity Strategy - Disaster Recovery: If your proposed EDI solution has a disaster recovery process, can you meet a maximum system recovery of 24 hours? Explain. |  |  |  |
| **41** | In the case of an eventual transition to another vendor will your company assist in the transition period? |  |  |  |
| **42** | In the future WCA may have other vendors applications which will need access to EDI information. Will your company work with WCA to set up data access for their applications? |  |  |  |

1. Vendors are encouraged to provide information related to the scope of this RFI that was not specifically requested. Be clear and specific.

# APPENDIX A

**REQUEST FOR INFORMATION**

**ACKNOWLEDGEMENT OF RECEIPT FORM**

**TITLE**

**RFI#00-000-00-00000**

In acknowledgment of receipt of this Request for Information, the undersigned agrees that he/she has received a complete copy, beginning with the title page and table of contents, and ending with Appendix B.

**The acknowledgment of receipt should be signed and returned to the RFI Manager no later than November 22, 2022.** This will also ensure that you will receive copies of all Offeror written questions and the State’s written responses to those questions.

Return of this form acknowledges receipt by the Vendor of the above referenced RFI. Please indicate below your planned actions regarding the RFI:

\_\_\_\_\_ We will submit a response to the RFI by the response deadline.

\_\_\_\_\_ No, we will not submit a response.

COMPANY: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

REPRESENTED BY: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ TITLE: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

E-MAIL ADDRESS: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

PHONE NO.:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ FAX NO.:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

ADDRESS: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

CITY: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ STATE: \_\_\_\_\_\_ ZIP CODE: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

SIGNATURE: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ DATE: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

This name and address will be used for all correspondence related to the Request for Information.

Please return to: **RFI Manager:** Gordon Muthigi

Email Address: WCA-Modernization\_Team@wca.nm.gov

# APPENDIX B

**System Hosting Evaluation Questionnaire**

**Please** provide the System Architecture Document and a summary of the Vendor’s proposed software architecture and different tiers/layers (Database, application, business, and presentation) that are included in the solution.

**System Architecture – Hardware Architecture**

**Please describe** the platforms, networks, peripherals, hardware integration and segregation of different tiers/layers (Database, application, business, and presentation).

**Cloud Security Questionnaire**

1. Will the proposed EDI solution be hosted in a government certified cloud?
2. What are the security requirements for Vendor’s proposed EDI Solution?
3. Cyber Security
   1. Who will have admin access to the architecture and application for the proposed EDI solution?
   2. Describe your controls and process for administering admin access for the proposed EDI solution?
   3. Describe the different security measures defined for the proposed solution (user access, roles-based security, data access, file access)?
4. Is any of the following sensitive personal information collected, stored in the database, presented to users, and encrypted at rest/transit? Please check all that apply.

Please enter Yes (Y) or No (N) for each of the following:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Confidential or Protected System Data** | **Existing WCA system Data Collected** | **Stored in Database for new proposed EDI solution** | **Displayed** | **Encrypted at Rest & During Transit for the proposed EDI solution** |
| First Name and Last Name | Y |  |  |  |
| Date of Birth | Y |  |  |  |
| Address | Y |  |  |  |
| Social Security Number | Y |  |  |  |
| Password | Y |  |  |  |
| Other (Describe and add rows as necessary.) |  |  |  |  |

1. Please list all, by each of the above listed data types, the applicable confidentiality law or contract provision (*e.g.*, PII, FTI, PCI-DSS, ADA, FMLA, HIPAA, FERPA, PPRA, etc.):
2. Is intrusion detection in place for the proposed EDI solution? If “Yes”, describe:
3. Are there firewalls or equivalent devices setup for the proposed EDI solution? If so, describe how it is used? If there are no firewalls, describe why there is not a need?
4. If the proposed EDI solution is SaaS, is there a Web Application Firewall (WAF)? If so, what features are enabled and defined? If there is no WAF, describe why it is not required?
5. Does your proposed EDI solution have any batch processing? If so, explain the security measures defined?
   1. Who will have admin access to the batch processes?
   2. Describe your controls and process for administering admin access?
   3. Describe the different security measures defined for the solution (user access, data access, file access)?
6. Will your solution have a need to connect to New Mexico state infrastructure for any data exchange? If so, explain.
   1. Describe the exchange mechanism (direct SQL connection, API, CSV, etc.)?
   2. What security channels will be used (HTTPS, VPN, IP whitelist, etc.)?
7. Can you describe any security logs/alerts which would be available for WCA to monitor?
8. Describe Identity management (Username/Encrypted Password, Dual-Factor and/or Biometric, etc.) for your solution?
9. Describe encryption key management (if any) for your proposed EDI solution?
10. Will you have development/test/staging environment? If so, does above security controls apply to these environment(s)?
    1. Please list the environments that you plan to setup for your solution: